



Request for Application  
#TCS-00-103

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August 4, 2000

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California Department of Health Services  
Tobacco Control Section  
P.O. Box 942732, MS #555  
Sacramento, CA 94234-7320  
[www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco)

**DEPARTMENT OF HEALTH SERVICES**

714/744 P STREET  
P.O. BOX 942732  
SACRAMENTO, CA 94234-7320  
(916) 327-5425



August 4, 2000

TO: Prospective Applicants

SUBJECT: Request for Applications (RFA) # TCS-00-103

Attached is the RFA # TCS-00-103 entitled "Ethnic-Specific Tobacco Education Networks." The purpose of this RFA is to seek applications from qualified non-profit organizations that will operate four separate Tobacco Education Networks: African American, American Indian, Asian and Pacific Islander, and Hispanic/Latino.

The RFA specifies eligibility, submission requirements, and tentative timelines. Please read the RFA carefully, as this is an open competitive process and applications must comply with all instruction to be reviewed. Applications are due in the California Department of Health Services, Tobacco Control Section (CDHS/TCS) office by, **no later than 5:00 p.m., on September 25, 2000**.

A copy of the RFA and all required forms are also available online at the CDHS/TCS Web site: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco). In addition, the Policy Section of the CDHS/TCS Competitive Grantees Administrative and Policy Manual is available on the Web site to assist potential applicants to prepare their applications.

If your organization is eligible and interested in applying for funds, it would be beneficial to attend the scheduled Information Meeting. Please bring a copy of the RFA with you to the meeting. Answers to questions about the RFA will only be provided at this meeting. Technical assistance regarding programmatic content **will not** be available at the meeting nor through phone calls.

**INFORMATION MEETING**

Thursday, August 17, 2000

9 a.m. to 12 p.m.

California Department of Health Services  
Office of AIDS Building, 1<sup>st</sup> floor Conference Room  
611 N. 7<sup>th</sup> Street  
Sacramento, CA 95814  
(916) 327-5425

If anyone attending the Information Meeting requires special accommodations for the hearing impaired, please call Toni Rubin, at (916) 324-4409 by August 11.

Original signed by Dileep G. Bal

Dileep G. Bal, M.D., Chief  
Cancer Control Branch

cc: Local Lead Agencies  
Regional Community Linkage Projects  
Ethnic Networks  
Competitive Grantees

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## I. INTRODUCTION

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### A. Purpose

The purpose of this Request for Applications (RFA) is to fund four qualified, non-profit organizations to operate the following Ethnic-Specific Tobacco Education Networks: African American, American Indian, Asian and Pacific Islander, and Hispanic/Latino. The successful applicants will function as Administrative Agencies for the Ethnic Networks to coordinate, collaborate, build capacity and mobilize ethnic communities throughout California to support the California Department of Health Services, Tobacco Control Section (CDHS/TCS), program priority areas. Each Administrative Agency will operate in cooperation with its respective advisory committee, which is comprised of CDHS/TCS funded agencies, and other organizations and individuals involved in tobacco control efforts for the identified ethnic groups.

Funding for the Ethnic Network grants is made available pursuant to Health and Safety Code Section 104385, which requires CDHS/TCS to award grants for projects directed at the prevention of tobacco-related diseases. Preference is given to community-based organizations that have demonstrated their effectiveness and capacity to provide tobacco education services and serve populations in areas with substantial unmet needs.

### B. Background

In November 1988, California voters approved the Tobacco Tax and Health Promotion Act of 1988, also known as Proposition 99, which added a 25 cent tax to each pack of cigarettes sold in the state. These additional tobacco taxes were earmarked for health education and promotion, tobacco-related research, and health care.

The enabling legislation for Proposition 99 includes Assembly Bills (AB) 75, 99, and 3487, and Senate Bills (SB) 99, 816, 493 and the annual State Budget. These bills provide legislative authority for programs administered by CDHS/TCS to conduct the following:

- health education interventions and behavior change programs at the state level, in the community, and other non-school settings;
- apply the most current research and findings; and,
- give priority to programs that demonstrate an understanding of the role community norm change has in influencing behavioral change regarding tobacco use.

CDHS/TCS is responsible for supporting a statewide Tobacco Control Program designed to reduce tobacco use in California. Through the use of a social norm change model, the Tobacco Control Program has been able to “denormalize”

smoking and indirectly influence current and potential future tobacco users by creating a social climate where commercial tobacco use becomes less desirable, less acceptable, and less accessible.

Currently, smoking is the leading cause of preventable death and disability. It kills over 42,000 California smokers and 5,000 nonsmokers every year, along with hundreds of thousands more suffering from tobacco-related diseases and the premature loss of loved ones.

Since the passage of Proposition 99, per capita cigarette consumption in California has declined by more than 50 percent and the adult smoking prevalence has declined by more than 20 percent. However, the adult smoking prevalence has remained essentially flat since 1995 with a rate of approximately 18 percent in 1999. Particularly disturbing is that the smoking prevalence rate for 18-24 year olds continues to increase from 16.7 percent in 1995 to 22.7 percent in 1999.

Youth smoking prevalence has been consistently lower in California than in other states. From 1998 to 1999, there was a dramatic drop in youth smoking from 10.7 percent to 6.9 percent as measured by a randomized statewide telephone survey. This decline was observed across all genders and races.

While California has experienced numerous successes and has become a leader in tobacco control, many diverse communities within California still experience an unfair burden brought on by disparities in tobacco use. These disparities exist within a variety of populations, including California's four major racial/ethnic groups: African Americans, American Indians, Asian and Pacific Islanders, and Hispanic/Latinos.

While these communities face numerous challenges in reducing tobacco-related morbidity and mortality, the tobacco industry continues to specifically target them through extensive promotion, advertising and sponsorship campaigns. The close association of tobacco with significant events and rituals in many ethnic communities and the tobacco industry's long history of providing economic support to some ethnic groups may undermine tobacco prevention and control efforts.

Ethnic populations represent 28 percent of the U.S. population. In California, the figures are higher with African Americans, American Indians, Asian and Pacific Islanders, and Hispanic/Latinos representing 51 percent of the state's population. The following highlights demonstrate the need for effective tobacco control efforts to reach the four mentioned ethnic groups.

Nationally:

- Smoking declined dramatically among African American youth during the 1970's and 1980's, but has increased substantially during the 1990's.
- Past-month smoking increased among African American students by 80 percent and among Hispanic students by 34 percent from 1991 through 1997.

- Southeast Asian American male prevalence rates range from 34 percent to 43 percent, which is much higher than other Asian American and Pacific Islander groups.
- The prevalence rate of American Indian women of reproductive age has remained strikingly high since 1978 and this is the only ethnic group to experience an increase in respiratory cancer death rates between 1990–1995.
- If current patterns continue, an estimated 1.6 million African Americans who are now under the age of 18 will become regular smokers. About 500,000 of those smokers will die of a smoking-related disease.
- In 1999, Philip Morris launched a new \$40 million advertising campaign that targets women, with a focus on minority women.

In California:

- In a 1999 survey, 47 percent of American Indian males and 37 percent of American Indian females were current smokers, surpassing the national averages for this ethnic group.
- Prevalence rates for African American adults remain high at 22.4 percent in 1999, compared to 19.5 percent for Whites, 14 percent for Hispanics, and 13.8 percent for Asian and other populations.
- Eighty-one percent of Asians and Pacific Islanders and 75 percent of Hispanic/Latinos report exposure to environmental tobacco smoke in work sites that report “less/no restrictions” for indoor smoking.

Additionally, information on tobacco use rates in California can be found on the CDHS/TCS web site at: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco).

### **C. History of the Ethnic-Specific Tobacco Education Networks**

Following the funding of the first CDHS/TCS competitive grantees in early 1990, the need to form Ethnic-Specific Tobacco Education Networks became apparent. Several of these competitive grantees began providing African American, American Indian, Asian and Pacific Islander, and Hispanic/Latino populations with ethnic-specific tobacco control programs. From this, new strategies, interventions, and materials were being developed to meet the needs of California’s diverse populations.

Due to the increased ethnic-specific activity throughout the state, grantees began to express a need to network with each other in order to share ideas and resources that were being provided to similar communities. CDHS/TCS responded by coordinating the dissemination of a needs assessment for the ethnic groups and

subsequently funded four agencies to convene four statewide Ethnic-Specific Tobacco Education Networks.

CDHS/TCS has funded four Ethnic-Specific Tobacco Education Networks since 1990-91. Initially, their goal was to build leadership, assess and coordinate the cultural appropriateness of health education materials, provide training and technical assistance, and disseminate ethnic-specific tobacco-related information. Since then, the Ethnic Networks have expanded their scope to include advocacy campaigns and joint Ethnic Network activities. Advocacy campaigns have primarily focused on ethnic specific tobacco issues as they relate to CDHS/TCS program priority areas. Previous Joint Ethnic Network activities have included the development of a multi-ethnic youth advisory committee, coordination of a multi-ethnic youth summit, participation in World No Tobacco Abuse Day, coordination of multi-ethnic conferences, and various press events to combat the tobacco industry's exploitation of communities of color.

Each Ethnic Network consists of an Administrative Agency, an advisory committee, and general membership. Membership includes CDHS/TCS-funded agencies and their subcontractors, mini-grantees, and individuals involved in tobacco control efforts for the respective ethnic group.

#### **D. California's Tobacco Control Program**

##### **CDHS/TCS Program Components**

The scope of the health education campaign launched by CDHS/TCS is addressed in the Health and Safety Code, Part 3, Chapter 1, commencing with Section 104350. These statutes authorize CDHS/TCS to fund a variety of innovative approaches to reduce tobacco use. These approaches include funding for local health departments, competitively selected community agencies, a statewide media campaign, and an extensive evaluation of the entire tobacco control program. These programs are described on the next two pages.

***Local Health Departments:*** All of California's 58 county and 3 city health departments are funded as "Local Lead Agencies" (LLAs). Considered the lead tobacco control agency at the local level, each LLA is funded to implement comprehensive programs in their area. The LLAs involve community coalitions in developing strategic community actions to combat tobacco use in their jurisdiction and conduct a wide range of education, information, policy, prevention, and cessation activities.

***Community Based Grants:*** Approximately 100 community-based agencies are funded to implement programs designed to reach local ethnic populations, youth in the community, or other specified groups. Many others focus on topic areas, such as chew/dip, cigars, tobacco sponsorship, or tobacco advertising. These projects use innovative strategies to reach their respective target populations and to address their specific issues.



**Regional Community Linkage Projects:** Eleven Regional Community Linkage Projects throughout California are funded to coordinate resources, training, media advocacy, and policy activities with the local lead agencies, competitive grantees, and many volunteers in the region. The Regional projects maintain an active multi-community coalition to identify and address tobacco issues pertinent to their geographic area and to support other CDHS/TCS funded projects within their region.

**Statewide Grants:** CDHS/TCS funds several statewide grants to address a particular issue or to provide technical assistance to other funded projects. Initially, projects such as the Tobacco Education Clearinghouse of California (TECC), the California Smokers' Helpline, the Technical Assistance Legal Center (TALC), and BREATH (The California Smoke-free Bar Program) provided statewide technical assistance and services to CDHS/TCS funded projects. In July 1999, six additional statewide grants were awarded to create projects with a broad statewide impact to improve local tobacco control programs' effectiveness. These statewide projects are: 1) education outreach to key opinion leaders, 2) education outreach to entertainment industry decision makers, 3) education outreach to organized labor, 4) tracking of tobacco industry marketing activities, 5) legal technical assistance, and 6) local marketing and public relations assistance.

**Statewide Media Campaign:** The statewide media campaign consists of both advertising and public relations campaigns, including linguistically and culturally relevant ethnic-specific campaigns. The statewide media campaign utilizes hard-hitting paid advertising and public service announcements (television (TV), radio, billboards, transit, and print) with thought provoking messages to effectively communicate the dangers of tobacco use, secondhand smoke, and the tobacco industry's manipulative marketing ploys, throughout California's ethnically diverse communities. The public relations portion of the statewide media campaign includes communications planning and implementation, media relations and advocacy, technical assistance to local programs, grassroots coalition building, promotional event development, news conference coordination, media alerts and press releases, and branding and image development.

**Data Analysis and Evaluation:** This component of the tobacco control effort tracks adult and youth tobacco use prevalence by conducting year-round telephone surveys. These surveys also provide information about public opinion and knowledge related to tobacco use, which enables the other tobacco control components to more appropriately target their education and media outreach. Additionally, both in-house and independent evaluations of all tobacco control components are conducted to monitor progress toward reaching program goals and objectives, and to determine which strategies are most effective in reducing tobacco use.

## **CDHS/TCS Program Priorities**

CDHS/TCS tobacco control efforts focus on the following priority areas:

1. **Counter Pro-Tobacco Influences in the Community.** Eliminating tobacco industry influence in local communities is a high priority for California's tobacco control programs. The tobacco industry spends massive amounts of money on slick advertising and promotional campaigns, which mislead the public regarding the addictiveness and negative health effects of tobacco. Tobacco companies strategically target specific community events, such as rodeos, festivals, concerts and pow wows to create the perception that tobacco is a vital and even necessary part of community life.

Tobacco control strategies in this priority area include: developing interventions to weed out the harmful tobacco industry presence in our communities; tracking and reporting industry violations of the provisions of the Master Settlement Agreement (MSA); enacting local policies to reduce exposure to tobacco advertising, and promotions; creating alternative sponsorship opportunities; and, countering efforts to block or weaken regulation of tobacco or policies already in place. In addition, because of the increase in smoking among young adults (18 to 24 yr. olds), strategies are needed to impact this population with interventions to counter tobacco industry tactics that position tobacco use as "edgy" and "cool."

2. **Reduce Exposure to Secondhand Smoke and Increase the Number of Smoke-Free Public Spaces, Worksites, Schools, and Communities.** The tobacco control literature shows that where there are strong policies that protect people from the effects of secondhand smoke, there is a drop in smoking prevalence. This cause and effect relationship has been substantiated on a large scale by the California experience.

In 1994, the State Legislature enacted the Smoke-Free Workplace Act, AB 13 (Labor Code 6404.5). This law prohibited smoking in most enclosed worksites with limited exemptions. January 1, 1998, ushered in the second phase of Labor Code 6404.5, which extended the no smoking policy to bars, taverns, and gaming clubs. Consistent education and enforcement has been and will continue to be critical to the success of Labor Code 6404.5. Protecting California workers and the public from the effects of secondhand smoke and helping large numbers of smokers to get the environmental support they need to quit smoking remains a high priority with TCS.

Additionally, the importance of addressing workplaces not covered through AB 13, such as on American Indian lands in California, remains an area of focus. Several American Indian owned businesses, including casinos, are beginning to take hold of the idea to institute smoke-free policies, but much work still remains.

Confirming the importance of reducing exposure to secondhand smoke, a 1997 California Environmental Protection Agency report, "Health Effects of Exposure to Environmental Tobacco Smoke (ETS)," provided overwhelming evidence that ETS exposure is causally associated with developmental, respiratory, carcinogenic, and cardiovascular health effects, including fatal outcomes such as Sudden Infant Death Syndrome (SIDS) and heart disease mortality, as well as serious chronic diseases such as childhood asthma.

3. **Reduce Availability of Tobacco Products.** Overall, California has seen a significant drop in the rates of illegal tobacco sales, down from 52.1 percent in 1994 to 13.1 percent in 1998. However, the rate did increase in 1999 to 16.9 percent, which indicates that a problem still exists. In addition, over 80 percent of young people still report they have no problem obtaining tobacco.

This area is considered a lesser priority than countering pro-tobacco influences and reducing exposure to secondhand smoke. However, efforts to prevent youth access to tobacco, such as the Stop Tobacco Access to Kids Enforcement (STAKE) Act and Penal Code Section 308(a) enforcement, tobacco retailer licensing, and tobacco self-service display policies must continue at a level that maintains California's compliance with the federal and state laws requiring an illegal tobacco sales rate of less than 20 percent.

4. **Increase Availability of Cessation Services.** Smoking cessation is a complex, often extended process. It starts with an individual contemplating the decision to quit and proceeds to, in most cases, several repeated quit attempts until they are successful. As social norms shift away from the acceptability of smoking, they influence the level of motivation to quit across the entire population of smokers, and motivate more smokers to quit on their own. As such, cessation becomes the outcome rather than the intervention. While recognizing that in California, 90 percent of former smokers report quitting on their own without cessation services, CDHS/TCS does fund some direct cessation. Free tobacco cessation assistance is available for adults and teens from the California Smokers' Helpline. Cessation counseling is available in English, Spanish, Vietnamese, Korean, Mandarin, and Chinese. Most health departments also provide direct cessation services at no cost or for a nominal fee.

Also, CDHS/TCS funds several competitive grantees to approach cessation through a systems approach. This includes working with pharmacies, health maintenance organizations and healthcare providers to improve their capacity to offer culturally and linguistically appropriate cessation services. Additionally, the statewide public relations campaign released a communication outreach kit, "Make 2000 the Year 2 Quit" for use by contractors to promote quitting through the media, newsletter, promotional events, etc.

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## II. GENERAL GRANT APPLICATION INFORMATION

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### A. Eligibility Requirements

1. California public or private non-profit organizations are eligible to apply for these funds. For applicants claiming private non-profit status, **either** certification from the State of California, Office of Secretary of State **or** a letter from the Department of the Treasury, Internal Revenue Service (IRS) classifying the applicant administrative agency as a private non-profit **MUST BE INCLUDED** with the submission of the application. The certification application and a sample letter are provided in Appendix A and B.
2. State of California agencies, other than state universities and colleges, are not eligible for these funds.
3. Any agency, with the exception of universities and colleges, that receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company, during the term of the grant, is not eligible for funding under this RFA. Agency certification to this effect is required on Attachment 9. See Appendix C for a partial list of tobacco company subsidiaries.

With regard to universities and colleges, any Principal Investigator who within the last five years from the start date of the grant period, or during the term of the grant, receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company, is not eligible for funding under this RFA. The Principal Investigator's certification is required on Attachment 9. See Appendix C for a partial list of tobacco company subsidiaries.

### B. General Grant Information

1. Approximately \$5,600,000 is expected to be available for this RFA to fund four Ethnic-Specific Tobacco Education Networks from appropriations in fiscal years (FY) 2000-01, 2001-02, 2002-03, 2003-04.
2. Awards are expected to range from \$1,000,000-\$1,400,000 per Ethnic Network for the entire grant period beginning January 1, 2001 and ending June 30, 2004. **Applications must be for the entire 42-month period.** CDHS/TCS will have the option of renewing the grant for an additional two years if funds are available and the grantee has performed to the satisfaction of CDHS/TCS.
3. CDHS/TCS reserves the right to fund any or none of the applications submitted in response to this RFA. CDHS/TCS may also waive any immaterial deviation in any application. CDHS/TCS waiver of any immaterial deviation(s) shall not

excuse an application from full compliance with the contract terms if a contract is awarded. There is no guarantee that scoring above 75 will result in funding or funding at the level requested.

4. CDHS/TCS reserves the right to withdraw any award if an acceptable Scope of Work (Part I & II), Budget, Budget Justification, and other CDHS/TCS required forms are not received by CDHS/TCS within 45 calendar days of being negotiated by CDHS/TCS and the awardee.
5. Expenses associated with preparing and submitting an application are solely the responsibility of the applicant agency and will not be reimbursed by CDHS/TCS.
6. CDHS/TCS reserves the right to withdraw any award or negotiate the Scope of Work of any proposed projects or proposed project components.
7. The awardee certifies that it has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this grant for the acquisition, operation or maintenance of computer software in violation of copyright laws.
8. CDHS/TCS will send to each awardee, along with the official award notification, a copy of the grant language. Changes to this language will not be negotiated at any time during the negotiation process.

### C. Application Submission Requirements

#### 1. Letter of Intent

For the purpose of planning the RFA review process, all prospective applicants must submit a letter notifying CDHS/TCS of the intent to submit an application. This letter is not binding and those submitting a letter may elect not to submit an application. **One (1) signed letter of intent must be received by 5 p.m. on August 30, 2000.** The letter of intent must be submitted on the applicant's letterhead, signed by an officer of the board or their agent, and state the following: the name and number of the RFA under which the application will be submitted, the estimated budget request, and the ethnic population to be served.

E-Mail documents will not be accepted. Mail or fax the letter of intent to:

Tobacco Control Section  
ATTN: Toni Rubin  
California Department of Health Services  
P.O. Box 942732, MS #555  
Sacramento, CA 94234-7320  
FAX # (916) 327-5424

Clearly indicate on the outside of the mailing envelope or FAX transmittal sheet "Ethnic-Specific Tobacco Education Networks, RFA # TCS-00-103".

## 2. Application

**NOTE: All applicants agree in submitting an application, that CDHS/TCS is authorized to verify any and all claimed information. All applications received by CDHS/TCS are subject to the provisions of the "California Public Record Act" (Government Code Section 6250 et seq.) and are not considered confidential after completion of the selection process.**

Submit one signed original (clearly marked "original"), six (6) copies of the entire application, and six (6) additional copies of the Narrative and the Scope of Work Summary (refer to Section IV, Application Instructions, items 4&5). Clearly indicate "Ethnic-Specific Tobacco Education Networks, RFA # TCS-00-103" on the outside of the mailing envelope.

**Applications must be received by 5 p.m., Monday, September 25, 2000, at CDHS/TCS.**

- FAX and E-mail documents will **not** be accepted. It is the sole responsibility of the applicant to ensure that CDHS/TCS receives the required number of copies of the application by the above deadline.
- A late or an incomplete application will be considered non-responsive and will not be reviewed for funding.
- No changes, modifications, corrections, or additions may be made to the application once it is received.
- Postmarks will not be accepted as proof of timely delivery.

Deliver completed applications to CDHS/TCS:

**Regular mail  
(U.S. Postal Service):**  
  
Diane Hightree  
Tobacco Control Section  
Department of Health Services  
P.O. Box 942732, MS 555  
Sacramento, CA 94234-7320

**For hand or overnight delivery  
(UPS or FedEx):**  
  
Diane Hightree  
Tobacco Control Section  
Department of Health Services  
601 North 7<sup>th</sup> Street, MS 555  
Sacramento, CA 95814

CDHS/TCS Phone Number:  
(916) 327-5425

\*\*\* See Appendix D for directions to TCS. \*\*\*

### 3. RFA Information Meeting

An RFA Information Meeting is scheduled for the purpose of answering questions directly related to the RFA requirements. Technical assistance regarding programmatic content will not be available at the Information Meeting or by phone.

Date: **Thursday, August 17, 2000**

Time: **9 a.m. to 12 p.m.**

Location: **California Department of Health Services  
Office of AIDS Building, 1<sup>st</sup> floor Conference Room  
611 N. 7<sup>th</sup> Street, Sacramento, CA 95814**

This building is located directly behind the CDHS/TCS building.

## D. Application Review Process

### 1. Review for Compliance with Mandatory RFA Requirements

Applications will be date and time stamped upon receipt at CDHS/TCS. Each application received by CDHS/TCS **by 5:00 p.m. on Monday, September 25, 2000** will be reviewed for compliance with the requirements provided in this document.

**NOTE: Applications that do not comply with the requirements will be considered non-responsive and excluded from the review. Omission of any required document or form, failure to use required formats for response, or failure to respond to any requirement may lead to rejecting the application prior to the peer review. CDHS/TCS may waive any immaterial deviation in any application.**

### 2. RFA Review

Each application that complies with the mandatory requirements will be evaluated and scored by a peer review committee on a scale of 0 to 100 points. Applications receiving a score of 75 points or more will be considered for funding depending upon the availability of funds and non-duplication of local, state, or national tobacco control initiatives. There is no guarantee that scoring above 75 will result in funding or funding at the level requested. The maximum point value of each application section is as follows:

Narrative	10 points
Scope of Work Summary	10 points
Coordination	10 points
Applicant Capability	15 points
Core Components/Scope of Work & Evaluation	40 points
Budget and Budget Justification	<u>15 points</u>
	100 points

### 3. Notification of Decision

Each applicant, whether selected for funding or denied, will be notified in writing of the funding decision. Applicants may receive, upon written request to CDHS/TCS, their consensus review tool summary page which provides the score and overall strengths and weaknesses of their application.

### 4. Contract Negotiation

Following the award notification, contract negotiations will occur with the potential contractor in a timely manner. CDHS/TCS reserves the right to reject any proposed project(s) or project component(s). Following contract negotiations, the contractor is required to submit a detailed Scope of Work, Parts I and II, Budget, and Budget Justification in accordance with CDHS/TCS requirements, which will become part of the formal grant. Upon completion and approval of these documents, the grant may be fully executed and work may commence.

CDHS/TCS reserves the right to withdraw any award if an acceptable Scope of Work, Budget, Budget Justification and other CDHS/TCS required forms are not received by CDHS/TCS within 45 calendar days of being negotiated by CDHS/TCS and the awardee.

In the event that CDHS/TCS is unable to execute a contract with the initial successful agency, CDHS/TCS reserves the right to continue the evaluation of the applications and select the application that most closely meets the requirements specified in this RFA, and that received a passing score of at least 75 points.

CDHS/TCS reserves the right to withdraw any award or negotiate the Scope of Work of any proposed projects or proposed project components if another agency funds the applicant to perform similar activities submitted under this RFA or if the proposed activities duplicate the activities or roles of other local, state or national objectives.

## E. Appeals Process

Only those agencies that submit an application consistent with the requirements of this RFA and are not funded may appeal. There is NO appeal process for applications that are submitted late, non-compliant or are incomplete. Applicants may not appeal their funding level. Letters appealing the final application selection must be received **no later than 5 p.m. on Monday, October 30, 2000, at the address indicated below. Electronically transmitted documents WILL NOT BE ACCEPTED.**

Appeals shall be limited to the grounds that CDHS/TCS failed to correctly apply the standards for reviewing your agency's application in accordance with this RFA. The appellant must file a written appeal, which includes the issue(s) in dispute, the legal



authority or other basis for the appellant's position, and the remedy sought. Incomplete appeals will be rejected. Appeals must be mailed or faxed to:

Donald O. Lyman, M.D., Chief or Designee  
Division of Chronic Disease and Injury Control  
Department of Health Services  
P. O. Box 942732, MS #504  
Sacramento, CA 94234-7320  
Fax number: (916) 327-5424

At his sole discretion, the Chief of the Division of Chronic Disease and Injury Control or his designee may hold an appeal hearing with each appellant. A decision will be made, either based on the combination of the written appeal letter and the evidence presented at the hearing, or based on the written appeal letter if no hearing is conducted. The decision of the Chief of the Division of Chronic Disease and Injury Control or his designee shall be final. There is no further administrative appeal. Appellants will be notified of decisions regarding their appeal in writing within fifteen (15) working days of their hearing date or the consideration of the written appeal letter, if no hearing is conducted.

#### **F. Tentative Timelines**

August 4, 2000	Release of RFA
August 17, 2000	Information Meeting: Sacramento 9 a.m. – 12 p.m.
<b>August 30, 2000</b>	<b>Letters of Intent due by 5 p.m.</b>
<b>September 25, 2000</b>	<b>Applications due by 5 p.m. to CDHS/TCS</b>
October 19, 2000	Award decisions announced
<b>October 30, 2000</b>	<b>Appeals due by 5 p.m. to CDHS/TCS</b>
November 1-10, 2000	Appeal Hearings
January 1, 2001	Contract period begins
June 30, 2004	Contract period ends

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### III. ADMINISTRATIVE AND PROGRAM EXPECTATIONS

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Agencies applying for these funds must have the administrative ability to manage state grant funds and the technical expertise to successfully implement the proposed project activities. It is the experience of CDHS/TCS that some applicants are unfamiliar with state procedures, requirements, and expectations. The following information is provided in order that the prospective applicants might assess their ability to enter into a binding grant agreement with CDHS/TCS.

1. Grantees (funded agencies) are to expend funds in accordance with the negotiated line item budget. If changes in line items, salary ranges, or staffing patterns need to be made, the grantee must request a budget revision or a grant amendment depending on what in the budget needs to be changed. It is up to the discretion of CDHS/TCS whether or not to approve the requested budget revision or grant amendment.
2. Grantees are reimbursed in arrears for actual expenses, which means the agency or individual incurs expenses and is then reimbursed by CDHS/TCS. The grantee submits a monthly invoice for expenses incurred in the previous 30 days and then the State has up to 30 days to pay certified small businesses and up to 45 days to pay others. This means that the grantee must be able to cover at least 45 to 60 days worth of project payroll, indirect, and operating expenses prior to reimbursement by the State. Additionally, grantees are to submit invoices to CDHS/TCS in a timely manner to ensure: 1) prompt payment of expenses, and 2) cash flow maintenance.
3. Grantees are expected to contact CDHS/TCS if they are having difficulties implementing the Scope of Work or need to make changes in the approved activities. The agency must be aware that it is legally bound to deliver the services as stated in the Scope of Work. This includes serving the number of people identified, conducting the stated number of activities, developing the identified educational materials, etc. If changes need to be made in the Scope of Work, the grantee must contact CDHS/TCS to discuss the issue and request a Scope of Work revision or contract amendment. It is up to the discretion of CDHS/TCS whether or not to approve the request. **If grant deliverables, including Progress Reports, are not completed satisfactorily, CDHS/TCS has the authority to withhold and/or recover payment of funds.**
4. Grantees are expected to refer to and comply with the Competitive Grantees Administrative and Policy Manual. This manual is referenced in the contract and, as such, is a contract document. The manual will be made available to successful applicants.
5. Grantees are to be knowledgeable of standard payroll practices including State and Federal tax withholding requirements.

6. Grantees are to maintain accounting records that reflect actual expenditures including, but not limited to: accounting books, ledgers, documents; payroll records, including signed timesheets, etc., following standard accounting procedures and practices that properly reflect all direct and indirect expenses related to this grant. These records shall be kept and made available for three (3) years from the date of the final grant payment.
7. Grantees are to obtain an annual single organization-wide financial and compliance audit. CDHS/TCS will reimburse the grantee for its proportionate share of the audit expense.
8. Grantees are required to obtain prior approval from CDHS/TCS before they are reimbursed for any purchase order, subcontract, or consultant agreement costing \$5,000 or more. Three (3) competitive bids are required as well as other documentation of the bid process. This information along with the proposed subcontract or consultant agreement must be submitted to CDHS/TCS for approval prior to reimbursement of such expenses.
9. Grantees are to have a procedure designating a person within their agency or organization that may sign payroll time sheets, requisitions, and invoices.
10. Grantees are to maintain accurate records regarding program implementation, which document the number of people served, materials developed, activities conducted, etc. It is expected that these documentation records may include, but will not be limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc. It is recommended that the grantee set up documentation files by objective or major activities. Planning minutes, media outreach, and sign-in sheets, etc., should be filed in the objective-specific file as activities are completed.
11. Grantees are to have sufficient personnel to submit to CDHS/TCS timely, accurate, and complete progress reports every six (6) months using the forms and format provided by CDHS/TCS.
12. Grantees are to have adequate personnel to insure timely submission of accurate invoices and maintain the fiscal integrity of the grant.
13. Grantees and all subcontractors should be aware that the State shall be the owner of all rights, title, and interest in, but not limited to, the copyright to any and all Works created, produced, or developed under a grant funded from this RFA, whether published or unpublished. Appendix H contains the specific language that will be incorporated into the boilerplate language of the grant funded by CDHS/TCS. If successful in your RFA, you must comply with the copyright and ownership of materials language. Review Appendix H carefully. Changes to this language will **not** be negotiated at any time during the RFA process nor with the funded applicant.
14. Grantees are to be aware that travel and per diem rates must not exceed those amounts paid to State non-represented employees. Additionally, out-of-state travel

is not reimbursable without prior written approval by CDHS/TCS. Refer to Appendix L.

15. Grantees are expected to hire program and fiscal/administrative staff with the appropriate training and experience to fulfill all program grant related deliverables as well as to fulfill payroll, accounting and administrative procedures.
16. Grantees are to be aware that CDHS/TCS may withhold payment of invoices for lack of documented and/or timely progress, as well as any apparent non-compliance with contract requirements.

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## IV. APPLICATION REQUIREMENTS & INSTRUCTIONS

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### A. General Requirements

1. Scope of Work Implementation

Implementation of activities is to be predominately performed by the Ethnic Network's membership rather than by the Administrative Agency's staff. However, the Administrative Agency may contract (through mini-grants, subcontracts, or consultants) with agencies, organizations or individuals to conduct specific portions of the Scope of Work (e.g., materials or media development, trainings, merchant education, evaluation, etc.).

2. Policy Section

The Scope of Work and Budget is to be consistent with the policies and procedures found in the Policy Section of the *Competitive Grantee Administrative and Policy Manual* herein referred to as the Policy Section. The Policy Section is posted on the CDHS/TCS web site at: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco). As you develop your Scope of Work and Budget, please review the policy section and pay particular attention to those policies addressing mini-grant programs, incentives, promotional items, sponsorship, and lobbying.

3. **READ ALL INSTRUCTIONS CAREFULLY.** Be sure to include all of the information required in this RFA, including all attachments and copies. Re-check the application to ensure completeness.
4. **DO NOT ASSUME** the reviewers have prior knowledge of the past history of the applicant agency or previous tobacco control programs administered by the agency. The responsibility is on the applicant to demonstrate an understanding of the services to be delivered under the intended contract, the capacity of the applicant agency to carry out the services, and the ability to design and carry out efficient services that are reasonably budgeted.
5. **DO NOT PROVIDE ANY MATERIALS THAT ARE NOT REQUESTED.** Any materials submitted that are not requested under this RFA will be discarded prior to application review, including pages that go over the maximum number in specified sections with page limitations.
6. Number each page of the application consecutively.
7. The type font size is to be no less than 12 characters per inch.
8. Folders and binders are **not** desired and will be discarded; securely staple the application in the upper left corner.

9. Attachments 1, 4, 7, 8, and 9 require a signature by the person authorized to legally bind the applicant agency to the commitment outlined in the application. **Allow enough time to obtain these required signatures.**
10. Clearly indicate “Ethnic-Specific Tobacco Education Networks, RFA #TCS-00-103” on the outside of the mailing envelope.

## **B. Organization of the Application**

Present the components of the RFA in the order listed below using the instructions provided on subsequent pages to complete each area.

- 1. Application Cover Sheet (Attachment 1)
- 2. Application Checklist (Attachment 2)
- 3. Table of Contents (Attachment 3)
- 4. Narrative (No Attachment Provided, 10-page maximum)
- 5. Scope of Work Summary (No Attachment Provided, 6 page maximum)
- 6. Coordination:
  - a. Acknowledgement of Communication with CDHS/TCS Funded Projects Form (Attachment 4)
  - b. Letter from the Evaluation Consultant
- 7. Applicant Capability – (No Attachment Provided, 10-page maximum, not including d.)
  - a. Program/Evaluation Experience
  - b. Administrative/Fiscal Experience
  - c. Equipment
  - d. Letters of References
- 8. Scope of Work, Parts I and II (Attachments 5 & 6)
- 9. Budget (No Attachment)
- 10. Budget Justification (No Attachment)
- 11. Drug-Free Workplace Certification (Attachment 7)
- 12. Agency Documentation Requirements (Attachment 8)
- 13. Proof of Non-Profit Status (No Attachment)
- 14. Certification of Non-Acceptance of Tobacco Funds (Attachment 9)

**NOTE: ➤ DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.**

## **C. Application Criteria and Instructions**

### **1. Application Cover Sheet (Attachment 1)**

Item 1: Enter the legal name of the applicant. Fill in the project name. Enter the mailing address, which will appear on any subsequent agreement. Enter the name of the county in which the applicant's headquarters is located.

Enter the name of the primary person to be contacted regarding this application, the phone number, and the fax number. Enter the federal identification number of the applicant.

Item 2: Enter the grant term, **January 1, 2001 to June 30, 2004**.

Item 3: Enter the Budget amount requested for the entire grant term.

Item 4: Indicate **Statewide** in the location/geographic coverage of the project area.

Item 5: Check one or more of the **priority areas** that are included in the application.

Item 6: Check one of the Ethnic groups addressed by the application.

Item 7: The applicant official authorized by the agency to sign on behalf of the agency must sign and date the certification statement provided. Also type the name and title of this official.

## 2. Application Checklist Form (Attachment 2)

The items included on the checklist are **required** to be submitted as part of the application and should be presented in the order noted on this form. If any items are omitted from the application, the application will be considered incomplete and out of compliance with this RFA and will **not** be reviewed. Complete the attached application checklist form to ensure that all application attachments and required components are included.

*As a reminder, please **submit six (6) additional copies of the Narrative and the Scope of Work Summary** in addition to the required number of full applications.*

## 3. Table of Contents (Attachment 3)

Applications must have a Table of Contents with page numbers referenced. Application sections must be presented in the sequence shown on the Application Checklist (Attachment 2).

## 4. Narrative (No Attachment Provided) ten page maximum = 10 points

### **Criteria**

Funding preference will be given to those applicants that most closely address the criterion below:

- Includes relevant demographic, geographic, and political/cultural characteristics of the chosen ethnic communities.

- Describes historical, political, economic and socio-cultural influences that will facilitate or challenge implementation of the project.
- Clearly demonstrates the target population(s) needs with respect to tobacco control interventions by using relevant data sources, such as needs assessments, asset mapping, key informant interviews, public surveys, and focus group data.

### **Instructions**

Prepare a Narrative section no longer than ten pages that provides the following information:

- a. Describe the relevant demographic, geographic, and political/cultural characteristics of your chosen ethnic communities, such as: 1) ethnic population estimates; 2) urban/rural factors; 3) major media outlets; and 4) community attitudes towards tobacco.
- b. Describe the historical, political, economic and socio-cultural influences that will facilitate or challenge the implementation of the proposed project.
- c. Describe the target population(s) to be served, utilizing relevant data to describe the groups' needs with respect to tobacco control issues in the community. It is important to clearly demonstrate the populations' need for tobacco control interventions by citing scientific findings specific to that population to justify the importance of the proposed activities. Information provided from local needs assessments, asset mapping activities, key informant interviews, public surveys and focus group data are highly desirable.
- d. For this section, we are interested in you "bringing to life" tobacco issues and experiences facing your ethnic group and its communities. While State and Federal data regarding tobacco control issues is needed when conceptualizing intervention strategies, we are particularly interested in learning more about the unique aspects of your community and target group in order to place the proposed project into context.

### **5. Scope of Work Summary (six page maximum) = 10 points**

#### **Criteria**

Funding preference will be given to those applicants that most closely address the criterion below:

- Summarizes objectives and specifies outcomes to result from interventions.
- Includes a strong rationale for the interventions chosen that reflects the current literature and empirical data.



- Provides reasonable, realistic, and appropriate evaluation plans for each objective.

### **Instructions**

In no more than six pages, summarize the proposed Scope of Work by priority area. For each objective, indicate the priority area and describe:

- a. The interventions and expected outcomes to result from the interventions.
- b. The rationale for the chosen intervention (e.g., Explain why you selected the strategies and approaches and why you think they are appropriate and will be successful within the target population).
- c. The evaluation design and methodology (e.g., What will be measured and how?).

## **6. Coordination = 10 points**

### **Criteria**

Funding preference will be given to those applicants that most closely address the criterion below:

- Demonstrates that adequate communication took place with relevant agencies and groups regarding the Scope of Work activities.
- Demonstrates non-duplication and coordination with existing projects.
- Demonstrates evidence of the involvement of an evaluator in the development of the Scope of Work objectives and evaluation plan.

### **Instructions**

Follow the instructions for completing both a & b.

#### **a. Acknowledgement of Communication with CDHS/TCS Funded Projects Form (Attachment 4)**

The purpose of the Acknowledgement of Communication with CDHS/TCS Funded Projects Form is to confirm that applicants discussed their application with appropriate LLAs, Regional Community Linkage Projects, and other statewide or local projects to facilitate coordination, and avoid duplication.

The Acknowledgement of Communication with CDHS/TCS Funded Projects form is to be completed by each LLA, Region, Competitive Grantee, Statewide Project, or others that are involved in the applicant's proposed

advocacy campaigns, multi-cultural competency training, and cessation efforts or by those that could duplicate proposed activities.

Applicants should discuss with those involved the similarities with existing efforts, joint activities (e.g., trainings, youth summits) and potential contamination of control groups. Completed forms must be included in the application. Completed forms sent **separately** from the application will **not** be reviewed. Please note, the cities of Berkeley, Long Beach, and Pasadena are also LLAs.

**b. Letter from the Evaluation Consultant**

An evaluator must participate in the development of the Scope of Work and evaluation.

Provide a letter from the evaluator describing his/her involvement in the development of the Scope of Work and the evaluation component. This letter must include how much time the evaluator spent with the applicant to get the evaluation in place. Every application must include this letter, even if the evaluator is an internal versus an external evaluator.

**7. Applicant Capability (No attachment, ten page maximum) = 15 points**

**Criteria**

Funding preference will be given to agencies that exhibit the following qualifications:

- Demonstrates at least three years previous experience conducting culturally competent policy, advocacy, media, training, community planning, and community organization strategies resulting in community norm changes. This should include development of educational materials, media and activities that are appropriate in terms of age, literacy level, and cultural sensitivity.
- Demonstrates the ability to start up and begin implementation within six weeks of the contract start date.
- Demonstrates that staff has training, skills and experiences consistent with the program, evaluation, and fiscal and management needs of the project.
- Demonstrates effectiveness and capacity to provide tobacco education services and serve populations in areas with substantial unmet needs.
- Demonstrates at least two years satisfactory performance with administrative, fiscal and programmatic management of government grant funds, including timely and accurate submission of fiscal and program documentation, subcontracts and compliance with all state contract requirements.

- Demonstrates the ability to partially equip the project with office furniture, computers, printers, copy machines, etc., to support staff and program needs.

### **Instructions**

Address the following in no more than ten pages.

#### **a. Program/Evaluation Experience**

- (1) Describe the applicant's experience in conducting culturally competent policy, advocacy, media, training, education, community planning, and community organizing strategies, including educational materials development and media activities.
- (2) Describe three successful community norm change interventions and their measurable outcomes facilitated by the agency.
- (3) Describe the applicant's capability and resources to ensure timely start-up and implementation of the proposed project. Describe how the proposed project will be integrated into the agency's organizational structure.
- (4) Describe the agency's effectiveness and capacity to provide tobacco education services and serve populations in areas with substantial unmet needs.
- (5) Describe the qualifications of key program staff (including staff or consultants responsible for the program evaluation). Describe their educational background and previous experience with the types of activities to be conducted such as community organization, community planning, health education, report writing, media advocacy, policy, program evaluation, etc. **Do not attach resumes.**

#### **b. Administrative/Fiscal Experience**

- (1) Describe the applicant's current administrative staffing pattern for activities such as payroll, bookkeeping, invoicing, and general tracking of administrative and fiscal controls. Describe the qualifications of key fiscal staff, including a description of the staff's experience with monitoring government grant funds. **Do not attach resumes.**
- (2) Describe the applicant's history in the last two years managing state government grant funds. Include in the description the funding agency, the amount received, and how the grants were managed, i.e., were the grant deliverables accomplished, progress reports and invoices submitted timely, and were fiscal records in good standing?

(3) Describe the applicant's internal audit history in the past two years. Describe the frequency of audits, date of last audit, and a summary of the major findings from the last audit.

(4) Indicate if the applicant has been audited by a State agency within the last two years. If yes, list: 1) the name of the State agency; 2) State agency contact person and phone number; 3) the year the audit was conducted; and, 4) the outcome of the audit. CDHS/TCS reserves the right, at its sole discretion, to follow up with references by telephone to confirm the audit history.

**c. Equipment**

Describe the office and computer equipment the applicant has available for use in this project. Include in the description: a) the number and type of equipment available, i.e., desks, chairs, typewriters, facsimile machines, personal computers, printers, etc.; b) whether or not the computers have modems and communications software; c) the software packages your agency uses for word processing, spreadsheets, databases, etc.; and, d) approximately when the computer equipment was purchased, and its availability for use in this project, if funded.

**d. Letters of Reference**

The applicant should solicit and include three (3) letters of reference and attach them immediately following the description of the equipment. Number these letters consecutively as part of the application. If the applicant has in the past or is currently receiving funding from a local, state, or federal agency, other than CDHS/TCS, one of the references **must be** from one of these agencies. No more than three letters will be accepted.

The letters are to be on the reference agency's letterhead and should include:

- (1) The address, telephone number, name, and title of the letter's author.
- (2) A description of the capacity in which the reference worked with the applicant.
- (3) The applicant's ability to provide culturally competent interventions with the community/target population.
- (4) The applicant's experience in providing culturally competent policy, advocacy, media, training, community planning, and community organizing activities.

- (5) The applicant's fiscal and administrative ability to manage government grant funds, including satisfactory performance with administering and managing government grant funds through timely and accurate submission of fiscal, program and evaluation documents.

**CDHS/TCS reserves the right, at its sole discretion, to contact references for further information prior to the RFA review process.**

**8. Core Components/Scope of Work and Evaluation = 40 points**

**Criteria**

Funding preference will be given to those applicants that most closely address the criterion below:

- The Scope of Work reflects a comprehensive, integrated approach to achieve community norm changes and incorporates such methods as coordination with other agencies, community mobilization activities, community-level data collection, paid advertising, media advocacy, training, community education, and evaluation.
- The Scope of Work presents well-written objectives which identify measurable outcomes expected as a result of the intervention and each objective states:
  - *When the objective is to be achieved;*
  - *Where the objective occurs;*
  - *Who or what is targeted;*
  - *What is to change as a result of the intervention; and,*
  - *How much change is to occur (or sets a minimum standard).*
- Objectives are realistic in terms of their appropriateness for the ethnic population and achievable in the time period, yet not overly simple.
- Advocacy campaigns address community norm changes that reflect significant issues in the ethnic community (supported by data).
- Culturally and linguistically appropriate strategies are used to achieve each objective.
- The magnitude and the methods used to achieve each objective are likely to be sufficient in their power to achieve the stated objectives.
- Overall a well-organized and detailed "road map" of the project is provided which describes:

- *How much will be done;*
  - *Where activities will occur;*
  - *What will be done (e.g., educational methods, advertising, public relations, data collection methods, incentives, promotional items, etc.);*
  - *Staff, subcontractors or consultants responsible for the activities;*
  - *Appropriate and reasonable tracking measures; and,*
  - *An evaluation plan for each objective.*
- The Scope of Work thoroughly addresses each core component and the sub-activities or requirements of each core component.
  - The evaluation plan for each objective measures and determines the progress made toward achieving each objective in the Scope of Work, and that each outcome achieved was the result of the intervention.
  - The evaluation plan uses a design which is appropriate given the strategies, contract period, target group and language(s) of the target group.
  - The evaluation plan includes the following information for each objective:
    - *The amount of expected change or what is being measured (e.g., policy, number of ads, behavior, etc.);*
    - *The instruments to collect data (e.g., pre/post tobacco sales to minors survey, Project SMART money survey instrument, key opinion leader surveys, public intercept surveys, etc.);*
    - *How data will be collected (e.g., through the mail, by phone, in person, observation, etc.);*
    - *The location where data will be collected (e.g., homes, malls, schools, tobacco retail outlets, the name of specific communities, etc.);*
    - *How many will be measured (e.g., sample size, number of stores, number of persons, number of events, number of households, etc.);*
    - *How the sample will be selected (e.g., simple random, random clusters, purposive, convenience, etc.);*
    - *The type of analysis to be done (e.g., comparison over time or with other groups or communities; control group, case study, etc.); and,*
    - *How the results will be disseminated (e.g., paper submitted for publication, PARTNERS, training, etc.).*

### **Core Components**

The following nine core components are required. Each application must incorporate them in the Scope of Work. The tenth component is optional.

#### **1. Ethnic Network Advisory Committee and Membership**

- The Administrative Agency will organize and manage an Ethnic Network that will include: an Advisory Committee (AC) of at least eight

members; Subcommittees to address media, policy, education and a rapid response team; and a General Membership to assist the Network in planning, implementing, and evaluating the Scope of Work.

- Each Ethnic Network will create and submit to TCS for approval by-laws or operating guidelines within four months after the contract term begins. By-laws must include a description of:
  - *The Networks' organizational structure;*
  - *Mission statement;*
  - *Definition of the roles and responsibilities of the members (AC and General Membership);*
  - *Definition of Subcommittee purposes*
  - *How appointment to the Network is made and the term of membership;*
  - *Meeting frequency;*
  - *A process for new member orientation; and*
  - *An assessment of coalition functioning at least every 18 months.*

## **2. Advocacy Campaigns**

- Ethnic Networks are to plan, coordinate, implement, and evaluate at least 2-3 community norm change focused advocacy campaigns that address one or more of the TCS priority areas: a) counter pro-tobacco influences in the community; b) reduce exposure to secondhand smoke and increase the number of smoke-free public places, worksites, schools, and communities; and c) reduce the availability of tobacco products. See Appendix E for examples.
- Advocacy campaigns are to be culturally appropriate, address needs identified in the community and reflect collaboration with other agencies.

## **3. Technical Assistance and Training**

Ethnic Networks are required to provide technical assistance and training that increases the skills and capacity of TCS-funded projects and community organizations to deliver effective and culturally appropriate tobacco control programs.

- Technical assistance and training services are to be based on current needs assessment findings.
- Technical assistance must include pro-active outreach to new and existing TCS-funded projects that serve specific ethnic populations.

- Pro-active technical assistance is to be offered to TCS-funded projects serving ethnic communities, regarding administrative activities, such as TCS progress and fiscal reports, communicating with TCS and other TCS-funded agencies, collaborating with other TCS-funded agencies, etc. In this way, the Ethnic Network serves as a “mentor” to TCS-funded organizations.

#### **4. Coordination and Collaboration**

- Ethnic Networks are to develop effective and timely communication systems to disseminate information such as media alerts, request for application announcements, training and meeting announcements to TCS-funded projects working with the ethnic community served by the Ethnic Network, advisory committee (AC) members, and the general Ethnic Network membership.
- Ethnic Networks are to develop an effective mechanism to ensure that Ethnic Network perspectives are shared in TCS workgroups and at TCS Grand Rounds teleconferences.
- Ethnic Networks are to develop communication systems that include: 1) log on to PARTNERS weekly to obtain updates, and routinely post announcements on the Strategy Exchange; 2) actively participate on Grand Rounds and PISE teleconferences; 3) promote statewide tobacco control toll-free telephone numbers (e.g., STAKE, Helpline, TECC); 4) create a rapid response system for timely communication via the Internet using a list serve or e-mail; and, 5) develop a database of other community based organizations to link with and communicate.

#### **5. Media Development and Assistance to TCS Media Unit**

- Ethnic Networks are to incorporate media campaigns into their Scope of Work (e.g., paid newspaper, radio, and print advertising, etc.), that supplement the ethnic-specific media campaigns developed by the CDHS/TCS Media Unit. For example, the Ethnic Network media campaigns may be directed at populations such as the Samoan, Fijian, or Thai populations.
- Ethnic Network media campaigns are to be integrated into the Scope of Work and Budget as an activity versus a separate objective.
- Each Ethnic Network is to recruit, train, and identify to the CDHS/TCS Media Unit the names of three to ten spokespersons that are available and knowledgeable of tobacco control issues within their culture.



- Each Ethnic Network is to make appropriate staff or AC members available to the CDHS/TCS Media Unit to participate in focus groups and other ethnic-specific media activities.

## 6. **TCS Statewide Campaign Involvement**

- *Communities of Excellence:*

CDHS/TCS will be utilizing the Communities of Excellence model to prepare for the 2001-2004 LLA Guidelines. Through this model, LLAs will be assessing their communities on a number of tobacco control indicators and will be identifying the needs of their ethnic communities with regard to tobacco control. Ethnic Networks must work with these LLAs to provide assistance in identifying partners in their ethnic communities where technical assistance and training interventions are needed. Ethnic Networks will also have the opportunity to address specific community indicators that an LLA or Region is unable to target.

- *TCS Statewide Workgroups*

CDHS/TCS Statewide Workgroups address environmental tobacco smoke, point-of-sale, chew/dip tobacco, local programs evaluation, and transnational tobacco issues. Each Ethnic Network must identify at least one liaison (an Administrative Agency staff person, AC member, or other Ethnic Network member) to serve on each of these workgroups. In addition to providing his or her own expertise to the workgroup, this person shall bring the Ethnic Network's perspective, issues, and needs. This person should also have a strong interest in the workgroup issue. Due to the large amount of time involved in workgroups, it is preferable that the Ethnic Networks identify individuals beyond Administrative Agency staff to be a liaison to CDHS/TCS Workgroups, and it is incumbent upon the liaison to provide feedback to the Administrative Agency.

## 7. **Mini-grant Programs**

- A mini-grant program is to be included as part of each Ethnic Network's Scope of Work.
- Mini-grants are to be used to enhance and support the individual Networks' program objectives.
- The mini-grant program must be consistent with the requirements described in the CDHS/TCS *Administrative and Policy Manual*.

- Within four months after the contract term begins, each Ethnic Network must submit their mini-grant award process to CDHS/TCS for approval.
- The Administrative Agency must be responsible for introducing the mini-grantee to the appropriate LLA and Regional Community Linkage Project in order for the mini-grantee to share their project with others and obtain resources when necessary.

## 8. Joint Ethnic Network Projects

- All Ethnic Networks are to coordinate and collaborate with CDHS/TCS and the California State University, Sacramento Business Services Group to organize: two joint cultural competency trainings to be held in Northern and Southern California in June 2001; and one joint Multi-Ethnic Network conference to be held in June 2002. Each Ethnic Network is to designate a staff person and an AC member to represent their respective network on a planning committee for each event.
- All Ethnic Networks are to jointly coordinate with a CDHS/TCS designated contractor to organize three annual Information and Education (I&E) visits for their advisory committee members. I&E visits are to educate key opinion leaders on the tobacco control issues specific to California's ethnic communities.
- Each Ethnic Network shall work together with a TCS-designated writer to create an ethnic-specific community planning document that will be produced by TCS. This document will supplement the *Community of Excellence in Tobacco Control Planning Guide* produced by the American Cancer Society's National Home Office. Communities in California and throughout the nation may use this document to mobilize ethnic communities to plan and implement tobacco control projects. The coordination of this document will be the responsibility of CDHS/TCS. Include a one to two day planning meeting in Sacramento within the first year of the Scope of Work.
- Each Ethnic Network shall offer their expertise by participating in the Tobacco Education Clearinghouse of California's materials review process. For each Ethnic Network, at least one Administrative Agency staff person and one Ethnic Network member shall be made available twice a year for materials review meetings.

## 9. Evaluation

- Evaluation plans are to demonstrate the use of appropriate scientific methodology, data sources, and analysis to determine progress made on each outcome objective in the Scope of Work. This may require

setting up control groups, allocating resources for staff and consultants, database development, data entry, statistical analysis, report writing, and dissemination of the evaluation findings. Some objectives may lend themselves to a case study evaluation design that uses data from sources such as community surveys, key informant interviews, and focus groups.

- Process evaluation or “tracking” measures, such as focus groups for educational material development, should also be included.
- Applicants are to track the implementation of various activities (e.g., maintain files on sign-in sheets, training agendas, meeting minutes, distribution lists, copies of news releases, focus group findings, etc.) to verify activity completion.

**Note:** *It is understood by CDHS/TCS that achievement of outcome-oriented objectives may rely on actions and events not directly under the control of the Ethnic Network and Administrative Agency. Full payment of contract funds is not solely dependent upon achieving the outcome objective, but rather on completing all activities and interventions described in the Scope of Work. The evaluation process allows Ethnic Networks and TCS to learn what worked and what did not work.*

*Additionally, some objectives may not lend themselves to an outcome evaluation. These objectives focus primarily on conducting assessments, legal reviews, etc. Where appropriate, some process objectives will be allowed in the Scope of Work.*

#### **10. Cessation (optional)**

- One or more objectives addressing cessation services can be included in the Scope of Work. No more than ten percent of the requested funding is to be directed toward these efforts.
- Objectives and activities proposed must complement rather than duplicate efforts funded by CDHS/TCS, state and local Proposition 10 activities, and services available via the Internet.
- Objectives are to focus at the level of making system changes versus the provision of direct cessation services to tobacco users.
- Objectives are to be outcome focused and evaluated for their effectiveness.
- Interventions may focus on facilitating integration of smoking cessation services within maternal and child health programs.

- Interventions may focus on working with health insurers and healthcare service providers to develop institutional policies in support of smoking cessation, e.g., reimbursement practices, clinical and systems procedures, incentives for providers, and clinical education about providing cessation services.
- Interventions may include working with healthcare providers to develop office-wide systems to ensure that every patient at every visit is asked about their tobacco use status and the information is systematically documented in their medical record as routinely as vital signs data are recorded.

## **Instructions**

### **a. Guidelines for Completing Scope of Work, Part I and II**

- (1) There are two parts to the Scope of Work. Part I describes the specific steps and timeline of the project in outline format. Part II provides a quantified list of the project deliverables.
- (2) The seven column Scope of Work format must be used by all applicants to ensure consistency for review purposes by CDHS/TCS staff and reviewers. **Plans presented using a format other than that described below will NOT be reviewed.**
- (3) Carefully follow the Scope of Work requirements and preferences for funding. Provide all the required information and the detail necessary to make the proposed project clear. Applicants must provide all the required information as detailed in the instructions provided in this document.
- (4) The Scope of Work provides the basis for grant negotiations, and along with the Budget, becomes a legally binding document. The Scope of Work is referenced in the grant and is the "road map" that provides the direction, activities, and expected outcomes of the project. The approved Scope of Work and any subsequent revision is incorporated and made part of the grant. The Scope of Work can only be changed with prior approval from CDHS/TCS.
- (5) The Budget and Budget Justification should closely correspond to Scope of Work activities, deliverables, and timelines. For example, if production of a radio ad is described in the Scope of Work, funds should be budgeted for creative development, production, and placement of the ad. If promotional items are to be distributed to store owners, these should be described in the Scope of Work and Budget.

## b. Instructions for Completing Scope of Work, Part I

Complete the Scope of Work Part I using the following instructions. Refer to Appendix F for sample format. See Attachment 5 for a blank form of Scope of Work, Part I. A complete format is also available online at the CDHS/TCS web site at: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco).

### (1) Header Information

The header information must be included on every page. Include your agency name and project name. The contract term is January 1, 2001 to June 30, 2004. The revision date is the date the plan is submitted to TCS (September 25, 2000). Leave the grant number and Progress Report Period blank.

### (2) Column #1: Objectives/Activities/Evaluation

- (a) **Priority Area** - At the top of the column state the priority area for each objective (e.g., Counter Pro-Tobacco Influences in the Community, Reduce Exposure to Secondhand Smoke and Increase the Number of Smoke-Free Public Spaces, Worksites, Schools and Communities, Reduce Availability to Tobacco Products, Increase Availability of Cessation Services). If the objective does not fall into the above stated priorities, then you may use the title, Administrative Duties, to describe objectives that include coalition maintenance or specific technical assistance. Each selected priority area may have more than one objective.
- (b) **Core Component Addressed** – Below the Priority Area, state the Core Component(s) addressed in the objective.
- (c) **Outcome Objectives** – For each of the priority areas you select, present at least one outcome objective. See Appendix G for tips on writing outcome objectives.
- (d) **Activities** - Use an outline format to describe the activities to be conducted to achieve the objective. It is recommended that applicants organize the activities under an objective by categories such as, "Education," "Community Mobilization," "Media," "Policy," etc., with activities listed chronologically within each category. The evaluation activities must be categorized separately under "Outcome Evaluation."
  - Describe Methods  
Methods may include: presentations, letter writing, conducting public hearings or forums, use of media, etc. Describe the curriculum to be used or major content areas.

- Describe Incentive Items  
Tobacco education projects may use incentives to reinforce or motivate a behavior change. They should only be given to participants attaining a pre-specified goal. If you plan to use incentives, identify the types of items you intend to use and how they will be used. If you do not know the exact incentive item you will be using, list possible examples (e.g. “incentive items such as; gift certificates, t-shirts, or mugs”). Refer to the Policy Section, Chapter 300 on CDHS/TCS web site at: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco) for more information on the use of incentives.
  
- Describe Promotional Items  
Promotional items are used to generate visibility and interest in the program. They generally include items such as buttons, key chains, stickers, posters, or inexpensive visors. Promotional items should be used in a planned manner and should generally require some action on the part of the receiver (e.g., complete a tobacco industry knowledge quiz). If you plan to use promotional items in your program, identify the items and how they will be used in the appropriate area of the Scope of Work. If you do not know the exact promotional item you will be using, list possible examples (e.g., “promotional items such as; buttons, key chains, or magnets”). Refer to the Policy Section, Chapter 300 on CDHS/TCS web site at: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco) for more information on the use of promotional items.
  
- Describe Educational Materials Development  
This includes creating, printing and disseminating educational materials such as pamphlets, curricula, flash cards, videos, etc. If you plan to develop educational materials, describe the format of the piece (video, pamphlet, etc.), content, length in pages or time (a range, such as 25 to 30 pages or 5 to 10 minutes is appropriate), who the target audience is, and the number to be printed or produced (again, a range is appropriate). For example, “Produce a 10 to 15 minute video targeting policy makers and addressing environmental tobacco smoke issues. Policy makers will provide input on content emphasis and will review the script. 20-50 copies of the video will be produced and distributed locally to all policy makers.” Refer to the Policy Section, Chapter 300 on the CDHS/TCS web site at: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco) for more information on the use of educational materials.
  
- Describe Media Activities  
Describe the media to be used to support program efforts (e.g., electronic, outdoor, newspaper, public relations, etc.). Include the length of the public service announcements (PSAs) and paid ads,

and the number of times they will be aired. For billboards, indicate the number of months they will be displayed. Refer to the Policy Section, Chapter 500 on CDHS/TCS web site at: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco) for more information on integrating media activities.

- **Indicate How Much Will Be Done**

Quantify the amount of work to be performed in order to help justify the budget request. You are encouraged to use ranges. Indicate the length, frequency, and number of trainings, educational materials, etc. For example, 10 to 15, 4 to 6 hour peer teacher trainings.

(3) **Indicate Where Activities Occur**

Indicate, where appropriate, the geographic location or site where activities will occur, e.g., Bedrock County, housing developments, retail stores, rodeos.

(e) **Outcome Evaluation Activities** - Describe the evaluation design, methodology, data collection, data analysis, and plan for disseminating evaluation findings. Please note this is part of the Scope of Work and is not a separate document. Be sure to address the following areas:

- Information on what is expected to change or what will be measured (e.g., policy, number of ads or stores, etc.).
- The instruments to be used for data collection (e.g., surveys, etc.).
- Information on how the data will be collected (e.g., through the mail, by phone, in person, observational, etc.).
- The location where the data will be collected (e.g., homes, malls, schools, tobacco retail outlets, the name of specific communities, etc.).
- The number to be measured (e.g., sample size -- number of stores, number of persons, number of households, etc.).
- Information on how the sample will be selected (e.g., simple random, random clusters, purposive, convenience, etc.).
- The type of analysis to be used (e.g., comparison over time or with other groups, or with a control group, etc.).

- Information on how the results will be disseminated (e.g., paper submitted for publication, posted on PARTNERS, provision of training, etc.).

### 3. Column #2: Start/End Date

Indicate the time frame during which each program and evaluation activity will be completed in a sequential order. Give a targeted start and end date. This will be useful in budgeting staff time, and overall project planning. Do not give the entire plan period as the start and end date for each activity.

### 4. Column #3: Who is Responsible

Indicate the position responsible for each program and evaluation activity. This may include program staff, volunteers, coalition members, consultants, or subcontractors. Indicate the **specific position**, such as Project Director or Evaluator. These positions must correspond to the positions used in the Budget Justification. You may abbreviate position titles (e.g., HE for Health Educator). Provide a key to identify position titles if using acronyms. Do not include agencies or individuals that **are not** within your control (e.g., city officials, schools, etc.).

### 5. Column #4: Tracking Measures

List the items that are used to document and verify that program and evaluation activities are completed. These range from sign-in sheets, meeting logs and press releases, to more complex measures such as focus group findings, survey instruments and survey results. These measures verify that the activity occurred and provide supporting documentation for the progress report.

### 6. Column #5-7: For Progress Report Use Only

These columns should be left blank. They are used only for completing progress reports.

## c. **Instructions for Completing Scope of Work, Part II**

Complete the Scope of Work Part II using the following instructions. See Attachment 6 for a blank form. A complete format is available online at the CDHS/TCS web site at: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco).

### (1) Header Information

Complete the header as you did for the Scope of Work, Part I. Number the pages of the Scope of Work, Part II as a continuation of the last page in the



Scope of Work, Part I. For example, if the last page of the Scope of Work, Part I is 10 of 13, the first page of the Scope of Work, Part II should be 11 of 13.

(2) Column #1: Summary List of Major Program Deliverables

The purpose of the Scope of Work, Part II is to concisely summarize and quantify the deliverables in the Scope of Work, Part I. **Briefly restate each objective and underneath the objective, list the major deliverables in their order of appearance in the Scope of Work, Part I. The deliverables should be listed in sequential order (i.e., 1, 2, 3 etc.) by objective, as they appear in the Scope of Work, Part I.** In general, the deliverables reflect products and services developed or conducted under the contract. In addition, deliverables may include activities and materials, such as presentations, trainings, incentives and promotional items developed, educational materials developed, surveys and focus groups conducted, paid radio or TV ads, etc. Quantify all deliverables (this can be a range of how many items, hours, days, etc.). Do not include those activities which help lead to achievement of the major program deliverables, such as planning meetings, developing award criteria for a poster contest, creating a task force, attending coalition meetings, or participating in CDHS/TCS trainings. **Tangible, concrete deliverables are the only items to be listed in the Scope of Work, Part II.**

(3) Column #2: ©

Place a copyright sign (©) next to each program deliverable that is subject to copyright laws. This includes such deliverables as educational materials, advertising, data, etc. Refer to Appendix H, for more information regarding copyright of materials produced.

(4) Column #3: %

For each major program deliverable, indicate the programmatic value by percent of that deliverable in terms of staff and budget resources. This column must total 100 percent. All activities and deliverables specified in the Scope of Work must be fully and satisfactorily performed or produced in order for the grantee to receive the maximum award negotiated with CDHS/TCS. If at the end of the grant term, CDHS/TCS determines that any activity or deliverable was not fulfilled in its entirety or the quality of the product was unsatisfactory, CDHS/TCS will reduce the maximum amount payable to the grantee according to the percentage of work not completed. The Scope of Work, Part II is used to help ascertain and calculate the maximum amount the grantee should be paid at the end of the grant term should the Scope of Work, Part I not be completed in its entirety.

(5) Column #4: Local Programs Unit Contract Closeout Notes

Do not complete this column. This is the column that CDHS/TCS, Local Programs Unit uses when reviewing the final progress report to determine if program deliverables were completed as stated.

**9. Budget Section = 15 points**

This section provides information and instructions on the Budget and Budget Justification that must be included in your application.

**Criteria**

Funding preference shall be given to applicants that:

- Submit reasonable Budgets for the proposed quality and quantity of activities in the Scope of Work;
- Propose reasonable personnel and consultant costs, given the qualifications of the individuals and needs of the project;
- Propose salaries and consultant fees consistent with comparable State civil services positions; and
- Provide the level of detail requested in the Budget and Budget Justification instructions.
- Allocate at least **ten percent** of the overall Budget toward evaluation of its program and designate one staff person as the lead on evaluation activities.
- Allocate, at a minimum, ten percent of the lead person's time toward overseeing evaluation activities, including the coordination of an evaluation consultant or subcontractor that may be hired.

**Instructions**

**a. Budget Instructions**

The Budget is a summary of the expenses described in the Budget Justification. It must be realistic, cost-effective, and appropriate to the proposed Scope of Work. The Budget is the controlling mechanism for expenditures and the basis for approval of invoices.

Prepare one Budget for the entire grant term, which is January 1, 2001 through June 30, 2004. This Budget must also reflect individual budgets for each FY within the grant term. Only use whole numbers and round to the nearest dollar. Please refer to Appendix I for the required Budget format.

Once approved, the Budget will be incorporated into the grant.

The Budget consists of eight (8) categories: A. Personnel Costs; B. Fringe Benefits; C. Operating Expenses; D. Equipment Expenses; E. Travel/Per Diem and Training; F. Subcontracts and Consultants; G. Other Costs; H. Indirect Expenses.

The Subcontracts and Consultants and Other Costs categories may contain several line items with associated costs. Each line item within these two categories must be itemized in the Budget and Budget Justification.

**b. Budget Justification Instructions**

The Budget Justification: 1) describes and justifies the expenditures associated with the activities in the Scope of Work, and 2) helps evaluate the Scope of Work and Budget. Prepare one Budget Justification for the entire grant term. Only use whole numbers and round to the nearest dollar. The amounts in the Budget columns and Budget Justification must be the same. Please refer to Appendix J for the required Budget Justification format. This format is required to maintain a standardized review and audit trail.

When preparing the Budget Justification, take into consideration changes that may occur due to programmatic or administrative needs. For example, the number of staff increase/decrease as program intensity fluctuates.

**Personnel Costs**

This category of the Budget Justification provides detail on the following:

**(1) Position Title:**

List all classifications or functional titles for positions for this grant. Management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper, etc.) budgeted at less than ten percent should not be included in the Personnel Costs category, but should be included in the Indirect Expenses category. Any applicant having an established policy that includes such positions in the Personnel Costs category shall so indicate and attach a copy of the policy to the Budget Justification.

***NOTE ON STAFFING LIMITATIONS: Ethnic-Specific Tobacco Education Network projects are limited to 5.0 full time equivalents (FTE) of project staff, i.e., Project Coordinator, Assistant Project Coordinator, Secretary, etc.***

(2) Salary Range:

Identify the actual salary range and the frequency of pay periods (monthly, semi-monthly, bi-weekly, weekly, hourly) for each position. The salary range shall reflect the frequency that the employee is actually paid.

Indicate the salary range for each position based on the full-time salary, regardless of the actual time base budgeted. Each salary range shall allow for anticipated salary increases (e.g., merit salary adjustments, bilingual pay, etc.) through the end of the grant term.

Salaries shall not exceed those paid to State personnel for similar positions/classifications. Please refer to Appendix K, Comparable State Civil Service Classifications.

If any salary exceeds the comparable State salary range, then justify the excess. Any such justification shall be approved in writing by the State. CDHS/TCS may request additional information during grant negotiations.

(3) Percent of Time:

For each position indicate the percentage of time, using whole numbers, or the total hours per pay period. If the amount of time for a position varies from month to month, then indicate a percentage range of the time base.

(4) Pay Periods:

Indicate the number of pay periods for which payment shall be claimed. Pay periods are defined as follows:

Monthly = 12 pay periods per year  
Semi-monthly = 24 pay periods per year  
Bi-monthly = 26 pay periods per year  
Weekly = 52 pay periods per year  
Hourly = "X" number of hours per year

(5) Amount Requested:

Calculate and list the Amount Requested by FY for each position. (Salary X percent of time X number of pay periods = Total Salary). Add the total salaries for each position to obtain the Total for Grant Term. Please refer to Appendix J, Budget Justification.

Please note that the total salary for each position has two restrictions.

- (a) The total salary **cannot be less** than the amount computed by multiplying the lowest amount within the salary range X the lowest percentage of time X the lowest number of pay periods.

AND

- (b) The total salary **cannot be greater** than the amount computed by multiplying the highest amount within the salary range X the highest percentage of time X the highest number of pay periods.

(6) Description of Duties:

Provide a summary of the responsibilities for each position. Indicate the position(s) responsible for the evaluation activities.

(7) Total Personnel Costs:

Add the amount budgeted for each position to compute the Total Personnel Costs for each FY and the grant term.

**Fringe Benefits**

Fringe benefits do not include employee leave, i.e., annual leave, vacation, sick leave, holidays, jury duty, and/or military leave training. Include employee leave in the salary paid to the employee.

List the benefits that your agency provides. Indicate the percentage rate and dollar amount requested for Fringe Benefits. If the percentage rate for benefits differs for various positions, indicate the low and high range, e.g., 20-25 percent.

If applicable, identify the positions that do not receive benefits with an asterisk (\*).

**Total Personnel Expenses**

Add the Total Personnel Costs and Fringe Benefits to compute the Total Personnel Expenses for each FY and the grant term.

**Operating Expenses**

Provide a summary of non-personnel expenses that are not chargeable to Indirect Expenses and indicate the budgeted amount for each line item.

Operating Expenses include, but are not limited to, the following line items:

(1) General Expenses:

- a) Office Supplies -- Office supplies refer to general supplies such as pens, pencils, paper, etc.
- b) Postage -- Postage includes all mailing expenses.
- c) Duplicating -- Duplicating refers to photocopying expenses or reproduction costs of printed materials for small office jobs. This sub-line item also includes the tobacco project's share of the applicant's copy machine usage and costs for copier maintenance agreements and copier supplies.

(2) Communications:

Communications refer to the monthly charges and installation costs associated with the telephone system. This may also include costs for FAX lines and Internet accesses.

Cellular phones and monthly access fees are not authorized for this grant.

Pagers and monthly fees may be authorized. Pagers will be considered on an individual basis and is dependent upon the need of the applicant and approval of CDHS/TCS.

All funded grantees are required to obtain and maintain an active PARTNERS (TCS Communications Network) account. While there is no charge for this subscription, your agency must budget for an Internet provider. Internet access fees are generally \$20-\$25 per month. Budget monthly fees for Internet access fees during the grant term. A modem is required to access PARTNERS and the purchase of a modem may be budgeted in the Equipment category.

(1) Printing:

Printing refers to the reproduction costs of training guides, business cards, brochures, posters, etc. for larger jobs and is usually completed by outside vendors.

(2) Space Rent/Lease:

Square footage shall not exceed 150 square feet per full-time equivalent (FTE) plus "reasonable" square footage for shared space such as conference rooms, storage space, etc.

Provide the total number of square feet and the budgeted amount to be charged to this grant. Consider any rate increases during the grant term.

Example:

5 staff X 150 sq. ft. X \$1.00/sq. ft. X 6 mo. = \$4,500 (Yr. .5)  
5 staff X 150 sq. ft. X \$1.00/sq. ft. X 12 mo. = \$9,000 (Yr. 1)  
5 staff X 150 sq. ft. X \$1.25/sq. ft. X 24 mo. = \$22,500 (Yr. 2 & 3)  
Total for 42 mo. = \$36,000

If the total square footage per FTE exceeds State standards, then justify the need for the additional space.

(3) Equipment Rental:

List all rental equipment, quantify each item, and provide for each item the monthly rental rate, number of rental months, and the approximate dollar amount.

***NOTE: “Renting/Leasing to own, Purchase/Leaseback, and Lease/Purchase” of equipment is not allowed.***

(4) Audit Expenses:

All CDHS/TCS funded grantees are required to conduct an annual Financial and Compliance audit. The budgeted amount should represent the proportionate amount of this grant in relationship to your business' total revenue. For example, if this grant represents ten percent of your business' total revenue, then this grant would be responsible for no more than ten percent of the total annual audit costs.

Provide the dollar amount allocated for the audit, the calculation for this amount, and the percentage this grant represents of your business' total revenue. Also identify the FY in which you operate (e.g., July 1 through June 30).

**This Audit Expense line item plus the Indirect Expenses line item cannot exceed 25 percent of your Total Personnel Expenses (Personnel Costs plus Fringe Benefits).**

Audit costs may be budgeted in this line item or in Indirect Expenses.

Grantees choosing not to allocate funds for audit purposes must provide a written justification explaining their compliance with the audit requirement.

(5) Total Operating Expenses:

Add all Operating Expense line items to compute the Total Operating Expenses for each FY and the grant term.

## **Equipment Expenses**

Equipment expenses include the purchases of all computer (software and hardware) and office equipment. Due to the anticipated limited funding amount of grant awards from this RFA, equipment purchases will be considered on an individual basis and will depend upon the need of the applicant and approval of CDHS/TCS. CDHS/TCS will also consider the information that was presented in the Applicant Capability section of this application when determining approval.

Computer equipment includes, but is not limited to, personal computers, software, printers, scanners, external Zip drives, external hard drives and replacements, external modems, and uninterrupted computer power supply adapters.

Office equipment includes, but is not limited to, desks, conference tables, chairs, conference call speakers, telephones, fax machines, easels, cameras, etc. Refer to Policy Section, Chapter 400 on the CDHS/TCS web site at: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco) for more information on equipment purchases.

List all equipment purchases, quantify each item, and provide the approximate dollar amount. Justify the need for each equipment purchase.

## **Travel/Per Diem and Training**

Travel and training are to be consistent with the needs of the tobacco control project and support the Scope of Work. Travel expenses are reimbursed at the current State Department of Personnel Administration (DPA) rates. Please refer to Appendix L, Travel Reimbursement Information.

Additionally, State funds may not be used for per diem and trainings/conferences associated with out-of state travel without prior written approval by CDHS/TCS.

### **(1) Local Travel/Training:**

#### **(a) Project Travel:**

This line item includes project travel expenses such as airfare, meals, lodging, incidental expenses and mileage, which are necessary to implement your Scope of Work (e.g., joint Ethnic Network meetings, advisory committee meetings, joint network activities, to attend Regional or statewide meetings or trainings, participate on TECC's materials review committee or Statewide workgroups, etc.).

Provide the dollar amount requested for project travel that is directly related to completion of the Scope of Work.



(b) Project Training:

Project training costs include registration fees for staff development or any other additional training events for professional, clerical, and administrative personnel; advisory board members; youth volunteers; committee members; etc. necessary for the completion of activities in the Scope of Work. Trainings may include courses on computer software, meeting facilitation, planning, leadership, etc.

Whenever possible, identify the training/conference, its location and date(s), the number of individuals attending, and the total cost to attend.

Provide the dollar amount requested for local training costs that are related to completion of the Scope of Work.

***NOTE: Networks may reimburse travel and training expenses for network advisory committee members. Travel expense claims are reimbursable for TCS funded and non-funded agencies/organizations IF the individuals are network advisory committee or sub-committee members. Networks may provide scholarships to non-funded network members on a case by case basis.***

(2) Out-of-State Travel

Use this line item to budget for three to four out-of-state trips. Provide the dollar amount requested, the location and dates, number of individuals attending, etc. All out-of-state travel trips not approved through this budget process will require prior CDHS/TCS approval.

(3) CDHS/TCS Travel and Training/Conferences:

(a) General Description:

Number of Trainings/Conferences: CDHS/TCS and its statewide contractors (e.g., Tobacco Education Clearinghouse of California, statewide public relations contractor, BREATH, Regional Community Linkage Projects, and others) typically conduct 12 to 14 trainings/conferences each year.

These trainings/conferences are specifically directed toward CDHS/TCS-funded projects; provide opportunities for project staff to learn from national, state, and local experts regarding evaluation, media, and advocacy; and are a means to stay connected to California's larger tobacco control movement.

Length of Trainings/Conferences: Each training/conference is usually one to two days. A statewide conference may be two to three days.

Training/Conference Topics: Generally, a broad range of topics are covered, such as educational materials development, youth advocacy, in-store advertising strategies, youth access to tobacco issues, coalitions, smoke-free bars, chew/dip and cigars, transnational tobacco issues, evaluation, and spokesperson training.

Training Sites: Each training is generally offered only once. Occasionally, trainings are offered twice: one in Northern California (Bay Area or Sacramento counties) and one in Southern California (Los Angeles, Orange, or San Diego counties).

(b) Travel/Training Budget Guidelines:

Required CDHS/TCS Trainings/Conferences

(1) New Grantee Orientation:

This is a one-day session for the Project Director, the Project Evaluator, and the person who is responsible for fiscal matters. This event occurs in the first six months only and will be conducted in Sacramento.

Budget \$250 per person (\$125 for travel/per diem and \$125 for registration) for three people to attend.

(2) Project Directors' Conference/Evaluation Showcase:

This event is typically a three-day conference for one to three program and evaluation staff/consultants. Budget this expense in Year one and three.

Budget \$1200 per person (\$1000 for travel/per diem and \$200 for registration). The \$1000 for travel/per diem includes two to three nights of lodging and airfare.

(3) Trainings/Conferences Required by CDHS/TCS and Statewide Contractors:

CDHS/TCS requires attendance at five to ten trainings/conferences per year. Each is usually one to two days for one to two program/evaluation staff.

Budget \$375 per person (\$250 for travel/per diem and \$125 for registration) for each person to attend five to ten trainings/conferences.

### **Subcontracts, Consultants, and Mini-Grants**

#### **(1) Subcontracts and Consultants**

Include both subcontractor agreements and consultant agreements. CDHS/TCS must review and approve **any** agreement costing \$5,000 or more.

A subcontractor is an individual or organization who performs a specialized task that is directly related to providing project services. Typical services provided by a subcontractor are conducting local surveys, developing anti-tobacco use education materials, coordinating large anti-tobacco use education events, etc. The use of subcontractors must be clearly defined in the Scope of Work.

A consultant is an individual whose level or area of expertise relating to the target population extends beyond that possessed by the applicant's project staff. Typical services provided by a consultant are advice on programmatic issues such as program evaluation, group facilitation, in-service training, program design and development, etc. Consultants are to be used only for activities directly related to the tobacco education and prevention program. The use of consultants must be clearly defined in the Scope of Work.

The rate paid to a consultant should be commensurate with his/her level of training, expertise, and national recognition. Every effort should be made to negotiate the lowest possible rate.

Salaries paid to a subcontractor or consultant shall not exceed those paid to State personnel for similar positions/classifications. Refer to Appendix K, Comparable State Civil Service Classifications.

List each subcontractor and consultant and provide the budgeted amount, contract term, and description of services for each. Do not provide one lump sum for multiple activities. You must break out the activities and provide a dollar amount for each.

#### **(2) Mini-Grants**

Mini-Grants provide a flexible funding mechanism that allows for quick response to opportunities within the ethnic community. Mini-Grants can be awarded for amounts not to exceed \$5,000 and are for operating

expenses and temporary help only. Mini-Grants **must** be used for activities, which support the CDHS/TCS three priority areas. Ethnic Networks are to develop (within the first four months of the contract term) an objective process with clearly identified criteria for awarding mini-grants, and this process should allow for applications to be reviewed on a bi-monthly or quarterly basis. This process shall be approved by TCS prior to the award of mini-grants. Refer to Policy Section, Chapter 300 on the CDHS/TCS web site at: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco) for more information on mini-grants.

### **Other Costs**

(1) Educational Materials:

This line item includes the purchase of brochures, pamphlets, posters, curriculum, training guides, videos, slides, flip charts, etc., necessary for program activities. Refer to Policy Section, Chapter 300 on the CDHS/TCS web site at: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco) for more information on educational materials.

Provide a list of educational materials and the total amount requested. Do not itemize; use broad categories and estimates only.

(2) Promotional Items and Incentives:

Refer to Policy Section, Chapter 300 on the CDHS/TCS web site at: [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco) for more information on promotional items and incentives.

(a) Promotional Items:

These are inexpensive miscellaneous items (e.g., buttons, key chains, stickers, posters, etc.) given to individuals in order to generate visibility and interest, to increase public awareness, and to promote attitudes which support tobacco control activities in the community. The use of promotional items must be referenced in the Scope of Work.

Provide a list of promotional items and the total amount requested. Do not itemize or give details of quantity, cost, or subtotal for each item.

(b) Incentives (Not To Exceed \$40 Per Participant Per Year):

These are rewards or awards given to intervention participants to reinforce a positive behavior change. Incentives cannot exceed \$40 worth of merchandise per person per year. **Cash rewards or awards**

**are not permitted.** The use of incentives must be referenced in the Scope of Work.

Provide a list of incentives and the total amount requested. Do not itemize or give details of quantity, cost or subtotal for each item.

(3) Media, Public Relations, and Advertising:

This line item may include the development, purchase, or placement of PSAs, paid advertisements on radio, TV, newspaper, magazines, billboards, bus shelter ads, organizational newsletters, and neighborhood advertising papers. Development of PSAs, radio, TV, and print advertisements may be budgeted either in this line item or in the Subcontracts and Consultants category. All planned media must be referenced in the Scope of Work.

Provide a list of the planned media that supports activities in the Scope of Work and the total amount requested.

(4) Additional Expenses:

This line item allows for expenditures that otherwise are not listed in this sample Budget Justification. If you use line items under Additional Expenses, then list them individually and be specific. For example, fees for renting a meeting room to conduct training or joint project expenses (e.g., multi-ethnic network conference, cultural competency trainings, I&E visits, Ethnic-Specific Community Planning document, etc.). All expenditures for items listed under Additional Expenses must also be referenced in the Scope of Work.

Provide justification and the amount requested for each additional line item.

(5) Total Other Costs:

Add all Other Costs line items to compute the Total Other Costs for each FY and the grant term.

**Indirect Expenses**

Indirect Expenses are costs that are not directly associated with the project's deliverables. Examples of Indirect Expenses are: management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs, and any expenses related to the mandatory annual Financial and Compliance audit.

Provide a list of all Indirect Expenses charged to this grant and the dollar amount requested. **Indirect Expenses CANNOT EXCEED 25 percent of the Total Personnel Expenses (Personnel Costs plus Fringe Benefits).**

### **Total Expenses**

Add Total Personnel, Operating Expenses, Equipment Expenses, Travel/Per Diem and Training, Total Subcontracts, Consultants, and Mini-Grants, Total Other costs and Indirect Expenses to compute Total Expenses for each FY and the grant term.

### **Evaluation Synopsis**

Provide a brief synopsis at the end of the Budget Justification (after Total Expenses) on the ten (10) percent requirement for evaluation activities. Include the following in the evaluation synopsis:

- a. a list of all line items that will have any evaluation expenses;
- b. the dollar amount of the evaluation expenses per line item; and,
- c. the total amount budgeted for evaluation.

Consider the following factors when determining the evaluation budget.

- a. at least ten (10) percent of a lead staff person's time is required to oversee and coordinate the evaluation activities; and,
- b. the expenses for an evaluation consultant or subcontractor; and any operating expenses (such as duplicating, posting on PARTNERS, etc.) related to the evaluation activities.

#### **Example of synopsis:**

The amount of \$1million is requested for this grant term. Therefore, a minimum of \$100,000 is budgeted to meet the ten (10) percent evaluation requirement.

#### **a. Personnel:**

Project Director: Budget \$9,798 for ten percent of the Project Director's time for the 42 months of the grant term;

Project Coordinator: Budget \$15,677 for 20 percent of the Project Coordinator's time for the 42 months of the grant term.

Temporary Help: Budget \$2,384 (298 hours x \$8 per hour) for temporary help to input data;

- b. **Operating Expenses:** Budget \$4,500 for dissemination of evaluation findings (posting on PARTNERS, duplicating, mailing, etc.); and

- c. Subcontracts and Consultants: Budget \$67,641 to hire an Evaluation Consultant for approximately 1,127 hours.

ten percent Evaluation Allocation = \$100,000.

**d. Additional Required Forms**

1. Additional Documents

The following documents require Completion/Signature by the person authorized to bind the application agency.

- a. Drug Free Workplace Certification (Attachment 7)
- b. Agency Documentation Requirements (Attachment 8)
- c. Proof of Non-Profit Status (No Attachment)  
California public or private nonprofit organizations are eligible to apply for funds. For those applicants claiming private nonprofit status, a certification from the State of California, Office of Secretary of State, or a letter from the Department of the Treasury, IRS classifying the applicant as a private nonprofit must be included with the application (See Sample Form, Appendices A and B).
- d. Certification of Non-Acceptance of Tobacco Funds (Attachment 9)

---

**V. TABLE OF CONTENTS FOR ENCLOSED ATTACHMENTS**

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**COVER SHEET: RFA #TCS 00-103 Ethnic-Specific Tobacco Education Networks**


---

1. Applicant Information:  
 Applicant Name \_\_\_\_\_  
 Project Name \_\_\_\_\_  
 Mailing Address \_\_\_\_\_  
 City/State/Zip \_\_\_\_\_  
 County \_\_\_\_\_  
 Contact Person \_\_\_\_\_  
 Telephone (\_\_\_\_) \_\_\_\_\_ Fax (\_\_\_\_) \_\_\_\_\_  
 E-Mail \_\_\_\_\_  
 Federal Taxpayer Identification Number \_\_\_\_\_
2. Term of Grant: From 01/01/01 to 06/30/04
3. Total Budget Amount Requested \_\_\_\_\_
4. Location and Geographic Location of Project: Statewide
5. Check one or more of the priority areas that are included in this application:
  - ☐ Counter Pro-Tobacco Influences
  - ☐ Reduce Exposure to Secondhand Smoke and Increase the Number of Smoke-Free Public Spaces
  - ☐ Reduce Availability to Tobacco Products
  - ☐ Increase Availability of Cessation Services
6. Check one of the Ethnic groups addressed in this application:
  - ☐ African American ☐ American Indian
  - ☐ Asian & Pacific Islander ☐ Hispanic/Latino
7. The undersigned hereby affirms that the statements contained in the application package are true and complete to the best of the applicant's knowledge and accepts as a condition of a grant, the obligation to comply with the applicable state and federal requirements, policies, standards, and regulations. The undersigned recognizes that this is a public document and open to public inspection. Person authorized by the Board to sign (e.g., Board of Directors, Superintendent of Schools, etc):

Signature  
 of Agency Representative \_\_\_\_\_ Date \_\_\_\_\_

Print Name and Title \_\_\_\_\_

---

**APPLICATION CHECKLIST**


---

The following attachments and components must be completed and submitted in the order shown here. Applications that are missing any of these attachments or components will be considered non-compliant and will not be reviewed. Please note that you are not required to submit the Application Checklist.

<u><b>Attachments and Components</b></u>	<u><b>Check Mark</b></u>
• One Original Application	_____
• 6 copies of the Application	_____
• 6 copies of the Narrative	_____
• 6 copies of the Scope of Work Summary	_____
➤ • Application Cover Sheet (Attachment 1)	_____
• Application Checklist (Attachment 2)	_____
• Table of Contents (Attachment 3)	_____
• Narrative – (No Attachment, 10 page limit)	_____
• Scope of Work Summary (No Attachment, 6 page limit)	_____
• <u>Coordination</u>	
➤ • Acknowledgement of Communication with CDHS/TCS Funded Projects Form (Attachment 4)	_____
• Letter from the Evaluation Consultant	_____
• <u>Applicant Capability</u> – (No Attachment, 10 page limit, not including Letters of Reference)	
• Program/Evaluation Experience	_____
• Administrative/Fiscal Experience	_____
• Equipment	_____
• Letters of Reference (3 required)	_____
• Scope of Work, Parts I and II, including evaluation (Attachments 5 & 6)	_____
• Budget (No Attachment)	_____
• Budget Justification (No Attachment)	_____
➤ • Drug-Free Workplace Certification (Attachment 7)	_____
➤ • Agency Documentation Requirements (Attachment 8)	_____
• Proof of Non-Profit Status (No Attachment)	_____
➤ • Certification of Non-Acceptance of Tobacco Funds (Attachment 9)	_____

**NOTE:** ➤ **DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.**

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**ACKNOWLEDGEMENT OF COMMUNICATION FORM**

For CDHS/TCS Ethnic-Specific Tobacco Education Networks RFA (#TCS-00-103) Application

*Applicant Agency: Please copy this form and send it to the appropriate agency to complete. Requests for signatures must occur by September 11.***TO:**

---

*Project Director*

---

*Agency Name*

**Agency Classification:**    ☐ Local Lead Agency    ☐ Regional Community Linkage Project  
                                          ☐ Statewide Project    ☐ Competitive Grantee    ☐ Other

**FROM:**

---

*Applicant Agency Representative*

---

*Applicant Agency Name*

**Please answer the following statements, sign, and return this form to the applicant agency immediately. Thank you.**

I confirm that the applicant agency identified above communicated with me to coordinate and/or collaborate in the proposed Scope of Work activities for the CDHS/TCS Ethnic-Specific Tobacco Education Networks RFA (#TCS-00-103) Application.

☐ **Yes**, there was adequate communication with the applicant agency to plan for coordination and/or collaboration where appropriate.

☐ **No**, there was not adequate communication with the applicant agency to plan for coordination and/or collaboration

If the applicant agency is planning to coordinate or collaborate with your agency briefly describe how:

---



---



---

Is there duplication of activities?    ☐ **Yes**    ☐ **No**

If yes, please explain: \_\_\_\_\_

---

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Print Name: \_\_\_\_\_ Phone No.: (\_\_\_\_) \_\_\_\_\_

**Exhibit C**  
**Tobacco Control Section**  
**Scope of Work, Part I**

Grant Number:

Grant Term:

Agency Name:

Revision Date:

Project Name:

Report Period:

Objectives/Activities/Evaluation	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only		
				Document Number/ Letter	Actual Date(s) Completed	TCS Use Only: Document Rec'd & Okay
<b>Priority Area:</b>						
<b>Core Component(s) Addressed:</b>						
<b>Objective I:</b>						
A. 1.						

\* Indicates a change

+ On file in office

Exhibit C  
Tobacco Control Section  
Scope of Work, Part II

Grant Number:

Grant Term:

Agency Name:

Revision Date:

Project Name:

<b>SUMMARY OF MAJOR PROGRAM DELIVERABLES</b> List the deliverables in the order they appear in Scope of Work, Part I. Quantify and briefly describe the deliverables.	©	%	Local Program Unit's Contract Close Out Notes
<b>Objective:</b>  <b>Deliverables:</b>  1.  2.  <b>Etc.</b>  <b>Objective:</b>  <b>Deliverables:</b>  1.  2.  <b>Etc.</b>			

© Indicates that the deliverable is subject to copyright laws. % Percentage of Programmatic Value

Page\_\_of\_\_

**DRUG-FREE WORKPLACE CERTIFICATION**

STD.21 (NEW 11-90)

COMPANY/ORGANIZATION NAME

The contractor or grant recipient named above hereby certifies compliance with Government Code Section 8355 in matters relating to providing a drug-free workplace. The above named contractor or grant recipient will:

1. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a).
2. Establish a Drug-Free Awareness Program as required by Government Code Section 8355(b), to inform employees about all of the following:
  - (a) The dangers of drug abuse in the workplace,
  - (b) The person's or organization's policy of maintaining a drug-free workplace,
  - (c) Any available counseling, rehabilitation and employee assistance programs, and
  - (d) Penalties that may be imposed upon employees for drug abuse violations.
3. Provide as required by Government Code Section 8355(c), that every employee who works on the proposed contract or grant:
  - (a) Will receive a copy of the company's drug-free policy statement, and
  - (b) Will agree to abide by the terms of the company's statement as a condition of employment on the contract or grant.

**CERTIFICATION**

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date and in the county below, is made under penalty of perjury under the laws of the State of California.

OFFICIAL'S NAME	
DATE EXECUTED	EXECUTED IN THE COUNTY OF
CONTRACTOR OR GRANT RECIPIENT SIGNATURE	
TITLE	
FEDERAL I.D. NUMBER	

91 6065.3

---

**AGENCY DOCUMENTATION REQUIREMENTS**

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The California Department of Health Services may audit contracts at any time. The documentation required for each audit may typically include, but is not limited to the following:

Fiscal Records

- A. General Ledger, Journals, and Charts of Accounts
- B. Cash Receipts and Disbursements Journal with Supporting Documents
- C. Vendor Invoices to Support Expenditures
- D. Program Remittance Advices from State Controller
- E. Payroll Records, including, but not limited to personnel time sheets signed/dated by the employee and supervisor reflecting actual time worked on program.
- F. Travel Log, Employee Expense Claims and appropriate receipts
- G. Billing Records (Program Log)
- H. State and Federal Tax Withholding Records
- I. Financial Statements and Independent Auditor's of County Auditor's Report
- J. Computation of the Fringe Benefit of Fund Sources
- K. Agency wide Budget and Listing of Fund Sources
- L. Copies of Monthly Invoices to the State
- M. Copies of Reimbursement Warrants and Remittance Advices from the State
- N. Administrative Manuals such as Personnel Policies and Procedures, Travel Policies and Procedures

Program Records

- A. Project Application (submitted in response to this RFA)
- B. Contract and Contract Amendments
- C. TCS Competitive Grantee Administrative and Policy Manual
- D. Progress Reports and the Final Report
- E. Program Audit Reports of Site Visits
- F. Scope of Work, Parts I and II
- G. Correspondence Regarding the Contract and/or Subcontracts
- H. Program implementation records that document the number of people served, materials developed activities conducted, etc. These records may include, but are not limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc.

Other Records

- A. Board of Director's Minutes and Articles of Incorporation
- B. Non-Profit Approval Letter/Certification
- C. Organization Chart (Agencywide) and Duty Statements
- D. Program Correspondence Files
- E. Other Program Audits of the Facility



I certify that the above will be available upon request by the CDHS, CDHS/TCS Program/Contract Manager and/or Auditors.

Director of Agency:

Agency Financial Management Official:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name and Title

\_\_\_\_\_  
Print Name and Title

**CERTIFICATION OF NON-ACCEPTANCE OF TOBACCO FUNDS**


---

 Company/Organization Name
 

---

**Please check one of the following:**

☐ The applicant named above hereby certifies that it will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.

☐ University/Colleges Only

The Principal Investigator of the university or college named above hereby certifies that he/she has not received funding from nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company within the last five (5) years prior to the start date of the grant period. In addition, the Principal Investigator of the university or college named above hereby certifies that he/she will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.

---

**CERTIFICATION**


---

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

Director of Agency or Principal Investigator:

---

 Signature

---

 Date

---

 Print Name and Title

---

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# State of California

**Bill Jones**

**Secretary of State**

P.O. Box 944230  
Sacramento, CA 94244-2300  
(916) 657-3537

## STATEMENT BY DOMESTIC NONPROFIT CORPORATION

THIS STATEMENT MUST BE FILED WITH THE  
CALIFORNIA SECRETARY OF STATE (SECTION 6210, 8210, 9660 CORPORATIONS CODE)

**A \$10 FILING FEE MUST ACCOMPANY THIS STATEMENT**

1.

DO NOT ALTER PREPRINTED NAME: IF ITEM 1 IS BLANK, PLEASE ENTER CORPORATE NAME AND NUMBER

DO NOT MARK IN THIS SPACE

**PLEASE READ INSTRUCTIONS ON BACK OF FORM.**

**PLEASE TYPE OR USE BLACK INK WHICH WILL BE SUITABLE FOR MICROFILMING.**

**THE CALIFORNIA CORPORATION NAMED HEREIN, MAKES THE FOLLOWING STATEMENT**

2. STREET ADDRESS OF PRINCIPAL OFFICE (IF NONE, COMPLETE 3-3B)	SUITE OR ROOM	2A. CITY AND STATE	2B. ZIP CODE
(DO NOT USE P.O. BOX NO.)			
3. MAILING ADDRESS	SUITE OR ROOM	3A. CITY AND STATE	3B. ZIP CODE

### THE NAMES OF THE FOLLOWING OFFICERS ARE:

4. CHIEF EXECUTIVE OFFICER	4A. STREET ADDRESS (SEE REVERSE SIDE)	4B. CITY AND STATE	4C. ZIP CODE
5. SECRETARY	5A. STREET ADDRESS (SEE REVERSE SIDE)	5B. CITY AND STATE	5C. ZIP CODE
6. CHIEF FINANCIAL OFFICER	6A. STREET ADDRESS (SEE REVERSE SIDE)	6B. CITY AND STATE	6C. ZIP CODE

**DESIGNATED AGENT FOR SERVICE OF PROCESS:** (ONE AGENT IS REQUIRED BY CALIFORNIA STATUTORY PROVISION.  
PLEASE READ ITEMS 7 AND 8 ON REVERSE SIDE OF FORM.)

7. NAME

8. CALIFORNIA STREET ADDRESS IF AGENT IS AN INDIVIDUAL (DO NOT USE P.O. BOX) DO NOT INCLUDE ADDRESS IF AGENT IS A CORPORATION

### COMMON INTEREST DEVELOPMENT ASSOCIATION

SECTION 1350, ET SEQ., CIVIL CODE

9. <input type="checkbox"/> THIS CORPORATION <b>IS NOT</b> AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT (IF THIS BOX IS CHECKED, PROCEED TO NUMBER 11.)
10. <input type="checkbox"/> THIS CORPORATION <b>IS</b> AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT UNDER THE DAVIS STIRLING COMMON INTEREST DEVELOPMENT ACT. (IF THIS BOX IS CHECKED, COMPLETE 10A AND 10B)
10A. BUSINESS OFFICE STREET ADDRESS OR PHYSICAL LOCATION OF DEVELOPMENT, INCLUDING ZIP CODE
10B. NAME AND ADDRESS OF THE MANAGING AGENT
11. I DECLARE THAT I HAVE EXAMINED THIS STATEMENT AND TO THE BEST OF MY KNOWLEDGE AND BELIEF, IT IS TRUE, CORRECT AND COMPLETE.

DATE

TITLE

TYPE OR PRINT NAME OF SIGNING OFFICER OR AGENT

SIGNATURE

## INSTRUCTIONS FOR COMPLETING STATEMENT BY DOMESTIC NONPROFIT CORPORATION

- FILING PERIOD:** All Nonprofit Corporations must file within 90 days after filing articles of incorporation. Thereafter, corporations must file annually by the end of the calendar month of the anniversary date of its incorporation, and when the agent for service of process or his/her address is changed.
- FILING FEE:** All Nonprofit Corporations must submit a ten dollar (\$10.00) filing fee with this statement. (Section 12210(B) Government Code.) Check or money order should be made payable to Secretary of State. PLEASE DO NOT SEND CASH.
- ITEMS 2—2B:** The address to be entered is the STREET address of the corporation's principal office. Enter room or suite number and ZIP code. Do not use post office box number.
- ITEMS 3—3B:** The address to be entered is the MAILING ADDRESS for the corporation.
- ITEMS 4—6C:** Complete by entering the names and complete business or residence addresses of the corporation's chief executive officer (i.e., president, chairperson or other title), secretary, and chief financial officer (i.e., treasurer, chairperson or other title). No list of additional officers should be submitted. Do not use post office numbers.
- ITEM 7:** Sections 6210 and 8210 of the Corporations Code make it mandatory that domestic Nonprofit Corporations designate an agent for service of process. An agent for service of process is one who may accept papers in case of a lawsuit against the corporation. The agent may be an individual who is an officer or director of the corporation, or any other person. The person named as agent must be a resident of California. Only one individual may be named as agent for service of process. Or, the agent may be another corporation. However, a corporation named as agent for service of process for another corporation must have on file in this office, a certificate pursuant to Section 1505, Corporations Code. The certificate is required ONLY if a corporation is named as agent for service of process for other corporations. A CORPORATION CANNOT BE NAMED AS AGENT FOR SERVICE OF PROCESS FOR ITSELF. (For example, ABC Corporation cannot name ABC Corporation as its agent for service of process.)
- ITEM 8:** If the agent is a person, enter name and complete business or residence address. If agent is another corporation, enter name of corporation only, and do not complete address portion. Only one agent for service of process is to be named.
- ITEMS 9—10B:** Section 1350, et seq., Civil Code mandates that a corporation formed on behalf of common interest development associations furnish specific additional information when filing a statement pursuant to Section 1502, California Corporations Code. If the corporation was not formed to manage a common interest development the box in Item 9 is to be marked and Items 10 - 10B are to remain blank. If the corporation was formed to manage a common interest development then the box in Item 10 is to be marked. Item 10A is to be completed with the address of the business or corporate office unless the office is off-site, then Item 10 is to be completed with the nine-digit ZIP code, front street, and nearest cross street for the physical location of the common interest development. Item 10B is to be completed with the name and address of the association's managing agent (Section 1363.1, Civil Code), if any.
- ITEM 11:** Printed name and signature of corporate officer or agent are required to complete the form. Enter title and date signed.
- (NOTE) ITEM 1:** Do not alter the preprinted corporate name. If corporation name is not correct, please attach note of explanation. If space is blank enter exact corporate name and number, do not include your DBA name.
- FAILURE TO FILE THIS FORM BY THE DUE DATE IN ITEM 1 WILL RESULT IN THE ASSESSMENT OF A \$50.00 PENALTY. (Sections 6810, 8810, Corporations Code, and Section 25936, Revenue and Taxation Code.)
- NOTE:** Your canceled check is your receipt of filing. We suggest that you make a copy of this form before mailing, if you wish one for you files.

INTERNAL REVENUE SERVICE  
DISTRICT DIRECTOR  
P. O. BOX 2508  
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: Employer Identification Number:  
xx-xxxxxxx  
DLN:  
xxxxxxxxxx  
Contact Person:  
XXXX XXXXX  
Contact Telephone Number:  
(XXX) XXX-XXXX  
Accounting Period Ending:  
March 31  
Foundation Status Classification:  
170 (b) (1) (A) (vi)  
Advance Ruling Period Begins:  
January 22, 1997  
Advance Ruling Period Ends:  
March 31, 2001  
Addendum Applies:  
None

Dear Applicant:

Based on information you supplied, and assuming your operations will be as stated in your application for recognition of exemption, we have determined you are exempt from federal income tax under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3).

Because you are a newly created organization, we are not now making a final determination of your foundation status under section 509 (a) of the Code. However, we have determined that you can reasonably expect to be a publicly supported organization described in sections 509 (a) (1) and 170 (b) (1) (A) (vi).

Accordingly, during an advance ruling period you will be treated as a publicly supported organization, and not as a private foundation. This advance ruling period begins and ends on the dates shown above.

Within 90 days after the end of your advance ruling period, you must send us the information needed to determine whether you have met the requirements of the applicable support test during the advance ruling period. If you establish that you have been a publicly supported organization, we will classify you as a section 509 (a) (1) or 509 (a) (2) organization as long as you continue to meet the requirements of the applicable support test. If you do not meet the public support requirements during the advance ruling period, we will classify you as a private foundation for future periods. Also, if we classify you as a private foundation, we will treat you as a private foundation from your beginning date for purposes of section 507(d) and 4940.

Grantors and contributors may rely on our determination that you are not a private foundation until 90 days after the end of your advance ruling period. If you send us the required information within the 90 days, grantors and contributors may continue to rely on the advance determination until we make a final determination of your foundation status.

If we publish a notice in the Internal Revenue Bulletin stating that we will no longer treat you as a publicly supported organization, grantors and contributors may not rely on this determination after the date we publish the notice. In addition, if you lose your status as a publicly supported organization, and a grantor or contributor was responsible for, or was aware of, the act or failure to act, that resulted in your loss of such status, that person may not rely on this determination from the date of the act or failure to act. Also, if a grantor or contributor learned that we had given notice that you would be removed from classification as a publicly supported organization, then that person may not rely on this determination as of the date he or she acquired such knowledge.

If you change your sources of support, your purposes, character, or method of operation, please let us know so we can consider the effect of the change on your exempt status and foundation status. If you amend your organizational document or bylaws, please send us a copy of the amended document or bylaws. Also, let us know all changes in your name or address.

As of January 1, 1984, you are liable for social security taxes under the Federal Insurance Contributions Act on amounts of \$100 or more you pay to each of your employees during a calendar year. You are not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the private foundation excise taxes under Chapter 42 of the Internal Revenue Code. However, you are not automatically exempt from other federal excise taxes. If you have any questions about excise, employment, or other federal taxes, please let us know.

Donors may deduct contributions to you as provided in section 170 of the Internal Revenue Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Donors may deduct contributions to you only to the extent that their contributions are gifts, with no consideration received. Ticket purchases and similar payments in conjunction with fundraising events may not necessarily qualify as deductible contributions, depending on the circumstances. Revenue Ruling 67-246, published in Cumulative Bulletin 1967-2, on page 104, gives guidelines regarding when taxpayers may deduct payments for admission to, or other participation in, fundraising activities for charity.

Contributions to you are deductible by donors beginning January 22, 1997.

You are not required to file Form 990, Return of Organization Exempt From income Tax, if your gross receipts each year are normally \$25,000 or less. If you receive a Form 990 package in the mail, simply attach the label provided, check the box in the heading to indicate that your annual gross receipts are normally \$25,000 or less, and sign the return.

## APPENDIX B

If a return is required, it must be filed by the 15th day of the fifth month after the end of your annual accounting period. A penalty of \$20 a day is charged when a return is filed late, unless there is reasonable cause for the delay. However, the maximum penalty charged cannot exceed \$10,000 or 5 percent of your gross receipts for the year, whichever is less. For organizations with gross receipts exceeding \$1,000,000 in any year, the penalty is \$100 per day per return, unless there is reasonable cause for the delay. The maximum penalty for an organization with gross receipts exceeding \$1,000,000 shall not exceed \$50,000. This penalty may also be charged if a return is not complete. So, please be sure your return is complete before you file it.

You are not required to file federal income tax returns unless you are subject to the tax on unrelated business income under section 511 of the Code. If you are subject to this tax, you must file an income tax return on Form 990-T, Exempt Organization Business Income Tax Return. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You are required to make your annual return available for public inspection for three years after the return is due. You are also required to make available a copy of your exemption application, any supporting documents, and this exemption letter. Failure to make these documents available for public inspection may subject you to a penalty of \$20 per day for each day there is a failure to comply (up to a maximum of \$10,000 in the case of an annual return).

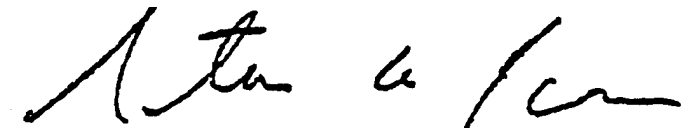
You need an employer identification number even if you have no employees. If an employer identification number was not entered on your application, we will assign a number to you and advise you of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

If we said in the heading of this letter that an addendum applies, the addendum enclosed is an integral part of this letter.

Because this letter could help us resolve any questions about your exempt status and foundation status, you should keep it in your permanent records.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Sincerely yours,

A handwritten signature in black ink, appearing to read "A. T. ...", is written over the printed name of the District Director.

District Director



## A. PARTIAL LIST OF TOBACCO COMPANY SUBSIDIARIES

This list is not a comprehensive resource and should be not relied upon to be complete or correct since changes in corporate and product ownership commonly occur.

**Parent Company:** Philip Morris Incorporated, Philip Morris International, Inc., Kraft Foods, Inc., and Miller Brewing Company.

### KRAFT Foods, Selected Brands

Coffee: Maxwell House, Sanka, Yuban, General Foods, International Coffees, Maxim, Starbucks

Soft Drinks: Country Time, Crystal Light, Kool-Aid, Tang, Capri Sun

POST Cereals: Alpha-Bits, Banana Nut Crunch, Blueberry Morning, Cranberry Almond Crunch, Frosted Shredded Wheat, Fruit & Fiber, Golden Crisp, Grape-Nuts, Grape-Nuts O's, Great Grains, Honey Bunches of Oats, Honeycomb, Honey Nut Shredded Wheat, Natural Bran Flakes, Oreo O's, Pebbles, Raisin Bran, Shredded Wheat, Shredded Wheat 'n Bran, Spoon Size Shredded Wheat, Toasties, Waffle Crisp, 100% Bran

Condiments & Sauces:

Kraft mayonnaise, Kraft barbecue and grilling sauces, Miracle Whip, Bull's-Eye barbecue and grilling sauces, Kraft Sauceworks cocktail, horseradish, sweet 'n sour and tartar sauces.

Confectioneries: Altoids mints, Callard & Bowser toffees, La Vosgienne, Toblerone and Tobler chocolates

Dry Desserts: D-Zerta, Jell-O, Minute brand tapioca

Dry Grocery: Baker's chocolate and coconut, Calumet baking powder, Oven Fry coatings, Shake 'N Bake, Sure-Jell and Certo pectins

Ethnic Foods: Taco Bell dinner kits, salsa and meal components

Meals/Side Dishes:

Kraft macaroni & cheese, Minute rice, Stove Top stuffing mix, Stove Top Oven Classics, Velveeta shells & cheese

Salad Dressing: Good Seasons mixes, Kraft, Seven Seas

## APPENDIX C

Snacks:	Handi-Snacks, Kraft
Toppings:	Dream Whip whipped topping mix, Kraft dessert toppings, Cool Whip
Cheese:	
Parmesean/Romano:	Kraft, Kraft Free, Di Giorno
Natural:	Kraft, Cracker Barrel, Harvest Moon
Processed American Cheese:	Kraft Deluxe, Kraft Singles, Kraft Super Slice, Kraft Cheez Whiz, Light n' Lively, Old English, Velveeta
Cream Cheese:	Philadelphia, Philly Flavors, Temp-Tee
Other Cheeses:	Athenos, Churny, Di Giorno, Hoffman's, Polly-O
Dairy Products:	Breakstone's sour cream, cottage cheese and dips, Breyers yogurt, Jell-O yogurt, Knudsen sour cream and cottage cheese, Light n' Lively low-fat cottage cheese, yogurt, Sealtest cottage cheese and sour cream
Fresh Pasta & Sauces:	Di Giorno
Processed Meats:	Oscar Mayer hot dogs, cold cuts and bacon, Osacar Mayer Lunchables, Louis Rich turkey products (hot dogs, cold cuts, and bacon), Louis Rich Carving Board sliced meats
Pickles & Sauerkraut:	Claussen
Pizza:	Di Giorno, Jack's, Tombstone

### KRAFT Foods International, Selected Brands

Cheese:	Dairylea, Eden, El Caserio, Invernizzi, Kraft, P'tit Quebec, Philadelphia, Sottilette
Coffee:	Blendy, Carte Noire, Gevalia, Grand' Mere, Jacobs Kronung, Jacobs Monarch, Jacques Vabre, Kaffee HAG, Kenco, Maxim, Maxwell House, Saimaza, Splendid

## APPENDIX C

Confectioneries: Aladdin, Cote d'Or, Daim, Figaro, Freia, Hollywood, Korona, Lacta, Marabou, Milka, Poiana, Prince Polo, Suchard, Sugus, Terry", Toblerone  
Powdered Soft Drinks, Clight, Frisco, Q-Refresko, Tang

Other: Bird's custard, Estrella snacks, Kraft ketchup, Kraft peanut butter, Magic Moments pudding, Miracle Whip/Dream Whip spread, Miracoli pasta, Simmenthal canned meats, Vegemite spread

### Miller Trademark Brands

Miller Lite, Miller Lite Ice, Miller Genuine Draft, Miller Genuine Draft Lite, Miller High Life, Miller High Life Light, Miller High Life Ice, Miller Beer, Sharp's non-alcohol brew, Milwaukee's Best, Milwaukee's Best Light, Milwaukee's Best Ice, Meister Brau, Meister Brau Light, Magnum Malt Liquor, Henry Weinhard's Private Reserve, Henry Weinhard's Dark, Henry Weinhard's Porter, Henry Weinhard's Amber Ale, Henry Weinhard's Pale Ale, Henry Weinhard's Hazelnut Stout, Henry Weinhard's Blackberry Wheat, Henry Weinhard's Hefeweizen, Henry Weinhard's Red Lager, Hamm's, Hamm's Draft, Hamm's Light, Olde English 800 Malt Liquor, Olde English 800 Ice, Mickey's Malt Liquor, Mickey's Ice, Red Dog, ICEHOUSE, Southpaw Light, ICEHOUSE Light, Leinenkugel's Original Premium, Leinenkugel's Light, Leinenkugel's Northwoods Lager, Leinenkugel's Genuine Bock (seasonal), Leinenkugel's Red Lager, Leinenkugel's Winter Lager (seasonal), Leinenkugel's Autumn Gold (seasonal), Leinenkugel's Honey Weiss, Leinenkugel's Berry Weiss (seasonal), Leinenkugel's Auburn Ale, Leinenkugel's Big Butt Doppelbock (seasonal), Leinenkugel's Maple Brown Lager, Leinenkugel's Creamy Draft (draft only), Leinenkugel's Hefeweizen (draft only), Celis White, Celis Grand Cru, Celis Pale Ale, Celis Golden, Celis Raspberry, Celis Dubbel Ale, Pale Rider Ale, Shipyard Export Ale, Goat Island Light Ale, Fuggles Pale Ale, Old Thumper Extra Special Ale, Blue Fin Stout, Longfellow Winter Ale (seasonal), Longfellow India Pale Ale (seasonal) Mystic Seaport Pale Ale, Chamberlain Pale Ale, Sirius Summer Wheat Ale (seasonal), Prelude Ale (seasonal), Molson Golden, Molson Export Ale, Molson Canadian, Molson Canadian Light, Molson Light, Molson Ice, Molson Exel non-alcohol brew, Molson Red Jack Ale, Foster's Lager, Foster's Special Bitter, Sheaf Stout, Presidente (from Cerveceria Nacional Dominicana, Santa Domingo, Dominican Republic), Shanghai (from Shanghai Foster's Brewery Co. Ltd., Shanghai, People's Republic of China)

### **Parent Company:** US Tobacco

Wines: Chateau Ste. Michelle, Columbia Crest, Domaine Ste. Michelle, Villa Mt. Eden, Conn Creek, Colour Volant

Beer: Bert Grant's Ale

## DIRECTIONS TO THE TOBACCO CONTROL SECTION (TCS)

TCS is located at 601 North 7<sup>th</sup> Street in the Continental Plaza building. There is visitor parking located at the 2<sup>nd</sup> Continental Plaza entrance. There is a charge for parking (\$6.00 for all day or 50 cents an hour), but there is also some minimal free parking available along the street. The entrance to the building is on the south side of the building, which faces Richards Boulevard. Check in with the security guard at the front entrance, and they will call our staff to come and meet you.

### From the Sacramento International Airport to TCS:

Take I-5 South and take the Richards Boulevard exit (**If you pass J Street, you have gone too far**). At the exit light, turn left under the freeway. Follow Richards Boulevard to North 7<sup>th</sup> Street. Turn left on North 7<sup>th</sup> Street. Continental Plaza is the 3<sup>rd</sup> building on the right.

### From Fresno to TCS:

Take I-5 North toward Sacramento. You will see exits for Highway 50 and Business 80. REMAIN IN THE LEFT LANES AND CONTINUE NORTH! You will pass the Q and J Street exits. Take the next exit, Richards Boulevard. (**IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!**). Turn right at the off-ramp light and continue to North 7<sup>th</sup> Street. Turn left on North 7<sup>th</sup> Street. Continental Plaza is the 3<sup>rd</sup> building on the right.

### From South Lake Tahoe to TCS:

Take Highway 50 toward Downtown Sacramento. You will pass exits for Business 80/Reno and Highway 99. REMAIN IN THE LEFT LANES UNTIL YOU PASS THESE EXITS! Continue on Highway 50 until you see signs for I-5 North (Redding). You will pass exits for 16<sup>th</sup> and 10<sup>th</sup> Streets. You will need to get in the far RIGHT lanes TO TAKE THE I-5 North exit. After taking the I-5 North exit, you will quickly need to merge to the left. You will pass the Q and J Street exits. Take the next exit, Richards Boulevard. (**IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!**) Turn right at the off-ramp light and continue to North 7<sup>th</sup> Street. Turn left on North 7<sup>th</sup> Street. Continental Plaza is the 3<sup>rd</sup> building on the right.

### From the Bay Area to TCS:

There are two ways to get to TCS. It depends on which freeway you take.

1. Heading East on Business 80/Highway 50 toward Sacramento/South Lake Tahoe: Cross the Sacramento River, and take the I-5 North (Redding) exit. You will pass the Q and J

## APPENDIX D

Street exits. Take the Richards Boulevard exit. **(IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!)** Turn right at the off-ramp light and continue to North 7<sup>th</sup> Street. Turn left at North 7<sup>th</sup> Street. Continental Plaza is the 3<sup>rd</sup> building on the right.

OR

2. Heading East on Business 80 toward Sacramento/South Lake Tahoe: **(after Davis and before West Sacramento)** - - take Interstate 80/Reno. Interstate 80 will cross the Sacramento River and will swing around to intersect with I-5. Take the I-5 (South) exit toward downtown Sacramento. You will pass the Garden Highway exit and cross over the American River. Take the Richards Boulevard Exit. **IF YOU PASS THE J STREET AND Q STREET EXITS, YOU HAVE GONE TOO FAR!** Turn left at the off-ramp light and continue on to North 7<sup>th</sup> Street. Turn left at North 7<sup>th</sup> Street. Continental Plaza is the 3<sup>rd</sup> building on the right.

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## ADVOCACY CAMPAIGN EXAMPLES

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The following are suggestions for each priority area that may be used to design interventions for advocacy campaigns. Keep in mind, these are *only suggestions* and the applicant should tailor their campaigns to meet the needs of their target populations.

### **Priority 1: Counter Pro-Tobacco Influences in the Community**

#### Point of Sale Advertising & Promotion

- Promote policies to prohibit or restrict in-store tobacco advertising and promotions or outdoor signage not banned by the Master Settlement Agreement (MSA).
- Document tactics that target ethnic communities with increased signage or placement designed to target children.
- Expose and counter the tobacco industry's tactic of offering monetary compensation for preferred in-store advertising space by documenting the level and frequency of tobacco industry slotting tactics, explore alternative product placement options, promote policies that ban slotting fee activities for tobacco (similar to what currently exists for alcohol).

#### Transnational Influence

- Identify and publicize how transnational promotion of, and addiction to, tobacco impacts California's ethnic populations (especially recent immigrants).
- Educate policy makers and opinion leaders about tobacco dumping in developing countries and its impact on trade relations.
- Promote adoption of the World Health Organization Framework Convention for Tobacco Control.

#### Sponsorship/Corporate Giving

- Document and expose the level of tobacco industry sponsorship of local organizations or events that target ethnic communities.
- Advocate for policies that prohibit acceptance of tobacco industry funds for donations, scholarships, event sponsorship, and/or corporate giving.

#### Celebrity Participation in Sporting and Entertainment Events

- Monitor and expose individuals who use their celebrity status to market tobacco products to ethnic populations locally and overseas.
- Create media campaigns and letter writing campaigns to raise public awareness.
- Enlist support by obtaining celebrity pledges to not accept tobacco industry funds.
- Policies to prohibit celebrity events where tobacco industry sponsorship exists.

#### Exploitation of Ethnic Groups

- Create advocacy campaigns that disprove the exploitation of certain ethnic images in tobacco industry products, advertising, and promotions. Use of letter writing campaigns in addition to media and press events should be utilized.

## **Priority 2: Reduce Exposure to Secondhand Smoke and Increase the Number of Smoke-Free Public Spaces, Worksites, Schools, and Communities**

### Asian Pacific Islander (A/PI) Compliance with Smoke Free Bars

- Coordinate efforts to decrease the disproportionate number of bars under A/PI ownership that demonstrate noncompliance with California's smoke free bar law through promotion of increased enforcement, bar owner education, community action, and media advocacy.

### Workplace Compliance

- Increase the number of small workplaces (e.g. cantinas, corner stores) that enforce the smoke-free law by educating business owners and encouraging increased enforcement.

### Smoke-Free Homes and Vehicles

- Coordinate an effort to decrease the number of children and family members exposed to secondhand smoke through an education campaign that is specifically designed to reach the particular ethnic population.
- Educate smokers on secondhand smoke hazards through an ethnic-specific media advocacy campaign.

### Tribal Policies

- Coordinate the establishment of policies to limit secondhand smoke exposure in public places on tribal lands, which are not covered under AB 13, including gaming facilities, restaurants, recreational facilities, tribal buildings, etc.
- Facilitate the efforts of statewide economic development collaboratives between tribal casinos and tribal governments that create smoke free alternatives, policy adoption, community activism, and education of tribal policy makers.

### Smoke-Free Outdoor Areas

- Promote smoke-free policies that will prohibit smoking in places where the public, and in particular, children congregate, such as public parks, amusement parks, zoos, playgrounds, recreational sites, outside entrances, exits of buildings.

### Smoke-Free Outdoor Venues

- Institute policies to establish family and community events as smoke free or designated smoking areas at outdoor venues, such as concerts and festivals (Cinco de Mayo festivals, Tet and New Year's Festivals, Pow Wow's, Kwanza Festivals, etc.)

### Smoke-Free Multiple Housing Units

- Advocate for smoke-free living spaces in ethnic neighborhoods where multiple housing units (apartment buildings and condominiums) exist. Gain support through tenant petitions, property owner and/or management education, corporate policies, tobacco free housing registries.

**Priority 3: Reduce Availability to Tobacco Products**

Retail Tobacco Sales

- Advocate for policies that regulate how tobacco is sold in retail outlets by promoting retailer licensing and self-service display bans.
- Encourage law enforcement personnel to actively enforce Penal Code Section 308(a).
- Develop community collaborations to build more consistent enforcement action and policy promotion by training law enforcement personnel, community and merchant education.

Location of Tobacco Retail Outlets

- Document intentional targeting of ethnic neighborhoods by the tobacco industry to establish a foundation for “public nuisance”, create an action plan to address the problem by promoting conditional use permits, and/or encouraging mall, shopping center and plaza lease agreements to prohibit businesses that sell tobacco products.



Exhibit C  
Tobacco Control Section  
Scope of Work, Part I  
**INSTRUCTIONS OVERVIEW**

APPENDIX F

Grant Number:

Grant Term: 01/01/01-06/30/04

Agency Name:

Revision Date: 09/25/00

Project Name:

Report Period:

Objectives/Activities/Evaluation	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only		
				Document Number/ Letter	Actual Date(s) Completed	TCS Use Only: Document Rec'd & Okay
<b>Priority Area:</b> State one of the priority areas (e.g. Counter Pro-Tobacco Influences in the Community; Reduce Exposure to Secondhand Smoke and Increase the Number of Smoke-Free Public Spaces, Worksites, Schools, and Communities; Reduce Availability of Tobacco Products; or Increase Availability of Cessation Services, or Administrative Duties)						
<b>Core Component(s) Addressed:</b> State one or more of the core components addressed in each objective (e.g. Ethnic Network Advisory Committee and Membership, Advocacy Campaigns, Technical Assistance and Training, etc.)						
<p><i>In outline format, state an objective and following each objective, describe the intervention to be implemented to achieve the objective. Immediately following the description of the intervention, describe the outcome evaluation plan.</i></p> <p><b>1. Outcome Specific Objective:</b> The objectives should be measurable and clearly identify the expected result or outcome. It should state how much change will occur, for what target group, when the objective will be met and what location. A good objective is measurable, quantifiable, and time limited.</p> <p><i>Example: By 4/30/02, the City of OZ will enact a policy to license tobacco retailers.</i></p> <p>A. Intervention: Use an outline format to describe the activities to be conducted to achieve the objective. It is recommended that applicants organize the activities under an objective by categories such as, "Education," "Community Mobilization," "Media," "Policy," etc., with activities listed chronologically within each category. Describe the planning, collaboration, educational, policy, media and training activities used to achieve the objective. List these in chronological order. The description should describe your target group, what will be done, and how much will be done. This should include the steps, methods and strategies to educate and mobilize the community.</p> <p><i>Example: Conduct 2-4 community forums on tobacco retailer licensing with participation from law enforcement, youth, parents and other interested parties. Topics to be addressed will include the problem of illegal sales of tobacco products, solutions, and action steps.</i></p> <p>B. Outcome Evaluation Activities: Describe the evaluation design, methodology, data collection and analysis, and plan for disseminating evaluation findings.</p>	<p><b>Describe the period that major activities will be implemented.</b></p> <p>Provide the start and end date for completion of the activity.</p> <p>Provide both the month and year.</p> <p><b>Do not give the entire contract period as the start and end date for each activity.</b></p>	<p><b>Identify who is responsible for conducting or participating in the major activities. This may include staff, coalition members or community volunteers, evaluation consultant, etc.</b></p> <p>Please list the position title. <b>If using acronyms, please indicate what the acronym stands for.</b></p>	<p>Describe the tracking measures which document that the process oriented activities were completed</p> <p>Examples of tracking measures include: sign-in sheets, press releases, survey instruments, evaluation reports, etc. Some tracking measures, such as meeting notes, individual registration forms completed, and others may be kept "on file in the office." Place a plus sign (+) beside the tracking measure you would like to keep on file in your office. <u>These items must be on file in the event of an audit.</u></p>			

# Tips for Writing Outcome Objectives

## What is an Outcome Objective?

An outcome objective states the results one hopes to attain by intervention activities.

Example: *By June 30, 2002 reduce the number of billboards with tobacco advertising by 50 percent in two cities exposed to the intervention.*

CDHS/TCS outcomes focus on community-level social norm change, such as shown in the above example, rather than on individual-level change strategies. Effective community norm change objectives work to reduce ETS, eliminate youth access to tobacco, and counter pro-tobacco influences (the TCS three top priority areas.)

A goal is usually the broader desired result of achieving multiple outcome objectives.

Example: *Reducing tobacco-related deaths in California.*

For local programs evaluation, the Tobacco Control Section needs to have outcome objectives defined prior to project start-up. Specific, measurable objectives allow staff and volunteers to focus on their responsibilities and clarify the relationship between intervention activities and desired outcomes.

## How to Write an Outcome Objective

Developing specific, measurable outcome objectives requires time, systematic thinking, and an understanding of the expected effect of a program. Well-written outcome objectives provide important guidance for the implementation and evaluation of an intervention.

Example: *By January 1, 2000 the percentage of tobacco retailers in Riverview who are in compliance with the existing local sign law will increase by 50% (from a 60% rate of compliance found in May, 1998) to a 90% rate of compliance.*

Key questions to consider when writing an outcome objective:

### 1. Is it specific?

#### ♦ Who or what is expected to change or benefit?

Example: *Percentage of tobacco retailers in compliance (measure: sidewalk signs outside their establishment).*

#### ♦ What/how much change or benefit is expected?

Example: *50% increase in the percentage of retailers in compliance*

#### ♦ Where will the change occur?

Example: *In Riverside*

#### ♦ When will the change occur or is a completion date specified?

Example: *By January 1, 2000*

### 2. Is it observable and measurable?

The outcome must be something you can measure from self-reports or see, count, hear, smell, etc. In the above example, the project will observe whether tobacco retail establishments have any sidewalk signs outside their establishment. The percentage of establishments that do not have any signs outside is a measure of the percentage of retailers in compliance with the law.

### 3. Is it achievable / reachable?

Write outcome objectives that are likely to be achieved. A baseline measure will assist you in estimating the level of success you might expect to achieve. Decide whether your intervention is realistic by considering baseline measurements as well as using your knowledge and experience in this area. Be realistic. Don't overestimate the probable outcome. For example, an outcome objective of 90% merchant compliance with sidewalk tobacco sign removal may be unrealistic if, at the start of the intervention, only 30% of the retailers are in compliance. An outcome objective of 50% or 60% is more realistic, and is therefore an achievable outcome objective.

If you don't know the baseline or current level of a proposed factor or outcome, you may not be able to estimate how much change is achievable. You can gather such information before you finalize your outcome objective, or you can write your objective but end it with a note stating, for example, "percent change is an estimate and may change following the assessment of baseline/current levels."

### 4. Is it meaningful and important?

Even if achievable, an outcome may not be sufficiently meaningful and important to be justified. In the above-cited example, if, at the beginning of your intervention, 85% of the retailers are already in compliance, then an intensive merchant education and enforcement intervention that will at best yield only a modest compliance increase from 85% to 90% may not be worth the effort. One way to test whether the outcome of your objective is worthwhile is to give it the "who cares" test. For example, achieving one thousand pledges to establish smoke free homes is meaningless if smokers continue to smoke in homes. A more meaningful outcome would be to have people report on whether they have actually established and maintained a smoke-free home. There are no hard and fast rules. Consider the required financial and human resources and the cost-benefit of the intervention.

In summary, outcome objectives specify who or what is expected to change, what and how much change or benefit is expected, where the change will occur, and when.

Example: *The Riverview city council will pass a city policy prohibiting smoking on city playgrounds by April 1, 1999.*

♦ **What is expected to change?**

*City policy*

♦ **What/how much** change or benefit is expected?

*Passage of a city policy prohibiting smoking on city playgrounds*

♦ **Where** will the change occur?

*On Riverview city playgrounds*

♦ **When** will the change occur or is a completion date specified?

*By April 1, 1999.*

Passing a city policy is a measurable event. Again, you must decide about the achievable/reachable rule. If four of your seven council members are avid smokers' rights advocates you may need another objective. If, on the other hand, you have a supportive council, this may be doable. Also, if a baseline survey shows that only 5 percent of the persons visiting playgrounds smoke, your resources might be better placed elsewhere as you may be solving a problem that does not exist or would have minimal impact on the overall community climate.

Writing a good outcome objective takes skill and judgment. The time and effort spent in writing objectives will put you far ahead in program planning and evaluation.

## Outcome Objective Checklist

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Use this checklist to judge whether your outcome objective meets the following criteria.

Does your outcome objective specify:

- ☐ Who or what is expected to change or benefit?
- ☐ What change or benefit is expected? Does it specify how much change or benefit is expected?
- ☐ Where will the change occur?
- ☐ When will the change occur or is a completion date specified?

Is your outcome objective:

- ☐ Observable and measurable?
- ☐ Achievable /reachable?
- ☐ Important or meaningful?

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## TIPS FOR WRITING OUTCOME OBJECTIVES

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Developed by the Stanford Center for Research in Disease Prevention (SCRDP), Stanford University School of Medicine with funds from the California Department of Health Services (CDHS), Tobacco Control Section (TCS) under contract number 97-10546, using funds generated by the passage of Proposition 99, the 1988 Tobacco Tax Initiative. Contributors to this document include Kate Lorig, Cheryl Albright, and Beth Howard-Pitney (SCRDP), and Sue Roberts (CDHS,TCS). April Roeseler, Joan Zicarelli, and Jeri Day (CDHS,TCS) provided comments on earlier drafts of this document.

Art Direction/Design: Stanford Design Group (SDG 980229)

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- A. The State shall be the owner of all rights, title and interest in, not limited to the copyright to, any and all Works created, provided, or developed in part or in total under this grant, whether or not published or produced. For purposes of this paragraph, "Works" are all literary Works, writings and printed matter, including the medium by which it is recorded or reproduced, and photographs, art work, pictorial and graphic representations, motion pictures, other audiovisual products, digital recordings, tape recordings, educational materials, original computer software programs, data, and any other materials or products conceived, developed, or delivered as a result of this grant. The copyright to any and all Works created, provided, or developed under this grant, whether published or not published or produced, belongs to the State from the moment of creation.
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- C. Grantee shall grant to the State, as permitted in California Civil Code, Section 982, ownership in any original work of authorship created, provided, or produced under this grant that is not fixed in any tangible medium of expression.
- D. If for any reason, the State is not deemed to be the owner of all rights, title and interest in the Works created, provided, developed, or produced under this grant, then Grantee, by entering into this grant, assigns all such rights to the State.
- E. For any product, data or material which is created, provided, developed, or produced under this grant which is not deemed a Work, the Grantee shall grant the State a royalty-free, non-exclusive, and irrevocable license throughout the world to reproduce, to produce derivative Works, to distribute copies, to perform, to display or otherwise use, duplicate, or dispose of such product, data or material in any manner for governmental purposes, and to have or permit others to do so.
- F. Subject to the terms, conditions, and limitations contained in this grant and subject to the performance of all terms and conditions stated in this grant, the State grants to the Grantee a non-exclusive license to use, duplicate, distribute, and permit others to use Works created, produced or developed under this grant for the purpose of carrying out the terms and conditions of this grant, consistent with any limitations set forth in this grant.
- G. For Works requiring the use of other copyright holders' materials, the Grantee shall furnish the names and addresses of all copyright holders or their agents, if any, and the terms of any licenses or usage granted, at the time of delivery of the Works. No materials of other

copyright holders shall be used without prior written permission of the State and the holder of the copyright.

- H. At any time the Grantee enters into an agreement with another party in order to perform the work required under this grant, the Grantee shall require the agreement to include language granting the State a copyright interest in any Works created, provided, developed, or produced under the agreement and ownership of any Works not fixed in any tangible medium of expression. In addition, the Grantee shall require the other party to assign those rights to the State in a format prescribed by the State. For any Works for which the copyright is not granted to the State, the State shall retain a royalty-free, non-exclusive and irrevocable license throughout the world to reproduce, to prepare derivative Works, to distribute copies, to perform, to display, or otherwise use, duplicate or dispose of such Works in any manner for government purposes, and to have or permit others to do so.
- I. The Grantee represents and warrants that:
  - 1) the Grantee is free to enter into and fully perform this agreement;
  - 2) the Grantee has secured or will secure all rights and licenses necessary for the creation, production, or development of the Works under this grant;
  - 3) neither the Works created, produced, or developed under this grant, the materials contained therein, nor the exercise by either the Grantee or the State of the rights described or granted in this grant, shall infringe upon or violate the rights or interests of any person or entity;
  - 4) neither the Works, nor any part of the Works, created, produced, or developed under this grant shall: a) violate the right of privacy of, or b) constitute a liable or slander against, or c) infringe upon the copyright, literary, dramatic, statutory or common law rights, trademarks or service marks of any person, firm, or corporation; and
  - 5) the Grantee has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to the State in this grant.
- J. All Works distributed under the terms of this grant and any reproductions of visual Works or text of such Works shall include a notice of copyright in a place that can be visually perceived either directly or with the aid of a machine or device. This notice shall be placed prominently on Works and set apart from other matter on the page or medium where it appears.
- K. The Grantee shall indemnify, defend and hold harmless the State and its licensees and assignees, and their officers, directors, employees, agents, representatives, successors, licensees and assignees from and against all claims, actions, damages, losses, costs and expenses, including reasonable attorneys' fees, which any of them may sustain because of the use, reproduction, distribution, display or transfer of the Works and any other materials

## APPENDIX H

furnished by Grantee under this grant, or because of the breach of any of the representations or warranties made in this grant award.

- L. If the use of any Work is enjoined as a result of any action or proceeding, the Grantee shall, at its own expense and at the option of the State:
  - 1) procure for the State the right to continue to use said element, if the cost of said element does not exceed the reasonable cost anticipated under paragraph 16.L.2) or 16.L.3) below; or
  - 2) replace said element with a comparable element which is non-infringing or does not violate the rights or interest of any person or entity; or
  - 3) modify said element so it becomes non-infringing or does not violate the rights or interest of any person or entity.
- M. The State owns all materials developed, provided, and produced for the State under this grant. During the contracting phase of this process, the State shall negotiate with the Grantee to determine the number of camera-ready and completed versions of each deliverable the State will receive. It is anticipated that the State will use deliverables in future tobacco control programs.

# BUDGET SAMPLE

# APPENDIX I

<b>Name of Grantee: ABC Community Agency</b> <b>Grant Number: 00-xxxxx</b> <b>Term: 01/01/01 - 06/30/04</b>									
Revision Date: September 25, 2000									
	Pay Period	# of Pay Periods Per Year	Salary Range	% of time or Hours per PP	6 months 01/01/2001 06/30/2001	12 months 07/01/2001 06/30/2002	12 months 07/01/2002 06/30/2003	12 months 07/01/2003 06/30/2004	Total Budget
<b>A. PERSONNEL COSTS</b>									
1. Project Director	S	24	\$4,220-\$5,274	100	\$0	\$0	\$0	\$0	\$0
2. Project Coordinator	S	24	\$3,840-\$4,801	100	\$0	\$0	\$0	\$0	\$0
3. Health Educator	S	24	\$3,193-\$3,980	100	\$0	\$0	\$0	\$0	\$0
4. Project Assistant	S	24	\$3,130-\$3,805	100	\$0	\$0	\$0	\$0	\$0
5. Secretary	H	24	\$2,525-\$3,072	20-40 hrs/pp	\$0	\$0	\$0	\$0	\$0
<b>Total Personnel Costs:</b>					<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>B. FRINGE BENEFITS @ XX%-XX% of Total Personnel Costs</b>									
					<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>TOTAL PERSONNEL EXPENSES:</b>					<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>C. OPERATING EXPENSES</b>									
					<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>D. EQUIPMENT EXPENSES</b>									
					<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>E. TRAVEL/PER DIEM and TRAINING</b>									
					<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>F. SUBCONTRACTS AND CONSULTANTS</b>									
1. Evaluation Consultant					\$0	\$0	\$0	\$0	\$0
2. Media Consultant					\$0	\$0	\$0	\$0	\$0
3. ABC Company					\$0	\$0	\$0	\$0	\$0
<b>TOTAL SUBCONTRACTS AND CONSULTANTS:</b>					<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>G. OTHER COSTS</b>									
1. Educational Materials					\$0	\$0	\$0	\$0	\$0
2. Promotional Items and Incentives					\$0	\$0	\$0	\$0	\$0
3. Media, Public Relations, Advertising					\$0	\$0	\$0	\$0	\$0
4. Additional Expenses					\$0	\$0	\$0	\$0	\$0
<b>TOTAL OTHER COSTS:</b>					<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>H. INDIRECT EXPENSES @ XX%-XX% of Total Personnel Expenses</b>									
					<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>TOTAL EXPENSES</b>					<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

## BUDGET JUSTIFICATION FORMAT SAMPLE

**ABC COMMUNITY SERVICES, INC.**  
**BUDGET JUSTIFICATION**  
**JANUARY 1, 2001-JUNE 30, 2004**

		<u>AMOUNT REQUESTED</u>				<i>Total for</i>
		<u>FY 00/01</u>	<u>FY 01/02</u>	<u>FY 02/03</u>	<u>FY 03/04</u>	<u>Grant Term</u>
<b>A. PERSONNEL SALARIES</b>						
1.	Project Director (\$4,220-\$5,274 paid semi-monthly) x (100%) x (24 pps/year)	\$28,482	\$56,964	\$59,808	\$62,796	\$208,050
	Project Director for tobacco control program. Responsibilities include overall planning, supervision, development, training, report writing, fiscal & general coordination of the project. Monitors the project budget, maintains liaison with CDHS/TCS Health Education Consultant/Health Program Advisor and Contract Manager. Approves budget, invoices, staff changes, ensures timely progress on contract obligations, and other duties as required. Devotes 10% of his/her time to oversee the implementation of the evaluation and work with the evaluation consultant.					
2.	Project Coordinator (\$3,840-\$4,801 paid semi-monthly) x (100%) x (24 pps/year)	\$16,200	\$32,400	\$34,020	\$35,724	\$118,344
	Under supervision of the Project Director, responsible for coordinating the tobacco program's media activities, promotional events, trainings, newsletter, and other duties as required. Devotes 5% of his/her time to implement evaluation activities.					



<b>COMPARABLE STATE CIVIL SERVICE CLASSIFICATIONS</b>
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<b>B. State Classification Title</b>	<b>Comparable Title</b>	<b>Comparable Monthly Salary **</b>
Health Education Consultant Supervisor III	Project Director	\$4,220-\$5,274
Health Education Consultant II	Senior Health Educator or Assistant Project Director	\$3,840-\$4,801
Health Education Consultant I	Health Educator or Health Education Assistant	\$3,193-\$3,980
Administrative Assistant I	Program Coordinator/Assistant	\$3,130-\$3,805
Office Services Supervisor II	Office Manager	\$2,527-\$3,072
Management Services Technician	Community Health Worker	\$2,135-\$2,596
Research Scientist II	Evaluation Consultant	\$4,542-\$5,480
Research Scientist I	Evaluation Consultant	\$4,136-\$4,989
Associate Governmental Program Analyst	Research Analyst II	\$3,764-\$4,576
Staff Services Analyst	Research Analyst I	\$2,411-\$2,932

**\*\* Please note that salaries will increase by 5% effective September 1, 2000.**

**Travel Reimbursement Information**  
**Effective November 2, 1999**

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under contract.
  - a. Reimbursement shall be at the rates established for similar state employees.
  - b. Short Term Travel is defined as more than 24-hours, but less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever contract leaves his or her home or headquarters. "Headquarters" is defined as the place where contracted personnel spend the largest portion of their working time and return to upon the completion of special assignments.
  - c. Contractors on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on page 2 of this bulletin to determine the reimbursement allowance. All lodging must be receipted. If contractor does not present receipts, lodging will not be reimbursed.

(1) Lodging:

- a. Statewide Rate (with receipts): Actual cost up to \$84.00 plus tax.
- b. Effective November 2, 1999 through June 30, 2000, when required to do business and obtain lodging in the counties of Alameda, San Francisco, San Mateo and Santa Clara, and Central and Western Los Angeles reimbursement will be for actual receipted lodging to a maximum of \$110 plus applicable taxes. Central and Western Los Angeles is the territory bordered by Sunset Boulevard on the north, the Pacific Ocean on the west, Imperial Blvd/Freeway 105 on the south and Freeways 110, 10, and 101 on the east. This area includes downtown L.A., Inglewood, L.A. International Airport, Playa del Rey, Venice, Santa Monica, Brentwood, West L.A., Westwood Village, Culver City, Beverly Hills, Century City, West Hollywood and Hollywood.

Reimbursement for actual lodging expenses exceeding the above amounts may be allowed with the advance written approval of the Deputy Director of the Department of Health Service or his or her designee. Receipts are required.

- (2) Meal/Supplemental Expenses (with or without receipts): With receipts, the contractor will be reimbursed actual amounts spent up to the maximum.

Breakfast	\$6.00	Dinner	\$18.00
Lunch	\$10.00	Incidentals	\$6.00

- d. Out-of-state travel may only be reimbursed if such travel has been stipulated in the contract and has been approved in advance by the program with which the contract is held. For out-of-state travel, contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, contractors must have prior Departmental approval and a budgeted trip authority.
  - e. In computing allowances for continuous periods of travel of less than 24 hours, consult the chart appearing on page 2 of this bulletin.
  - f. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.
2. If any of the reimbursement rates stated herein are changed by the Department of Personnel Administration, no formal contract amendment will be required to incorporate the new rates. However, DHS shall inform the contractor, in writing, of the revised travel reimbursement rates.

3. For transportation expenses, the contractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.
4. **Note on use of autos:** If a contractor uses his or her car for transportation, the rate of pay will be 31 cents maximum per mile. If the contractor is a person with a disability who must operate a motor vehicle on official state business and who can operate only specially equipped or modified vehicles may claim a rate of 31 cents per mile without certification and up to 37 cents per mile with certification. If a contractor uses his or her car "in lieu of" air fair, the air coach fair will be the maximum paid by the State. The contractor must provide a cost comparison upon request by the state. Gasoline and routine automobile repair expenses are not reimbursable.
5. The contractor is required to furnish details surrounding each period of travel. Travel detail may include, but not be limited to: purpose of travel, departure and return times, destination points, miles driven, mode of transportation, etc.
6. Contractors are to consult with the program with which the contract is held to obtain specific invoicing procedures.

### TRAVEL REIMBURSEMENT GUIDE

IF LENGTH OF TRAVEL IS	IF THIS CONDITION EXISTS	CONTRACTOR MAY CLAIM
Less than 24 hours	Travel begins at or before 6:00 a.m. and ends at or after 9:00 a.m.  <i>Example: A contractor may claim breakfast if, during a period of travel, he or she begins their travel at 5:30 a.m. and ends their travel at 9:30 a.m.</i>	Breakfast
Less than 24 hours	Travel begins at or before 4:00 p.m. and ends at or after 7:00 p.m.  <i>Example: A contractor may claim dinner if, during a period of travel, he or she begins their travel at 3:30 p.m. and ends their travel at 7:30 p.m.</i>	Dinner
Less than 24 hours	Lunch or incidentals may <b>not</b> be claimed on a trip of less than 24 hours	
24 Hours	A contractor is on travel status for a full 24 hour period (determined begin and end times).	Breakfast, lunch, and dinner
Last fractional part of more than 24 hours	Return at or after 8:00 a.m.  <i>Example: If a contractor returns the last day of a trip of more than 24 hours at or after 8:00 a.m., a breakfast allowance may be claimed.</i>	Breakfast
Last fractional part of more than 24 hours.	Return at or after 2:00 p.m.  <i>Example: If a contractor returns the last day of a trip of more than 24 hours at or after 2:00 p.m., a lunch allowance may be claimed.</i>	Lunch
Last fractional part of more than 24 hours.	Return at or after 7:00 p.m.  <i>Example: If a contractor returns the last day of a trip of more than 24 hours at or after 7:00 p.m., a dinner allowance may be claimed.</i>	Dinner